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ABSTRACT

This biennial report is the 23rd report to the Congress on federally funded education programs and the 14th such report submitted by the Department of Education in fulfillment of a Congressional mandate. For FY 1995-1996, there is information on 151 programs administered by the Department. Programs are grouped according to the administering office of the Department of Education: Office of Elementary and Secondary Education, Office of Bilingual Education and Minority Languages Affairs, Office of Special Education and Rehabilitative Services, Office of Vocational and Adult Education, Office of Postsecondary Education, and Office of Educational Research and Improvement. Available information is presented on the purpose, funding, target population, services, administration, effectiveness, management improvement strategies, and sources of information for those programs. Planned studies are briefly outlined. Overviews of postsecondary education, vocational and adult education discuss the purposes, funding, governance, services, and outcomes of the Department's major programs in these areas. Chapters describing programs have a subsection on performance indicators where such information is available. This report summarizes evaluation findings on what helps program participants to increase their achievement or improve their performance. The appendix lists with brief descriptions the evaluation contracts active in the Office of the Under Secretary (OUS) during Fiscal Years 1995-1996. (SLD)

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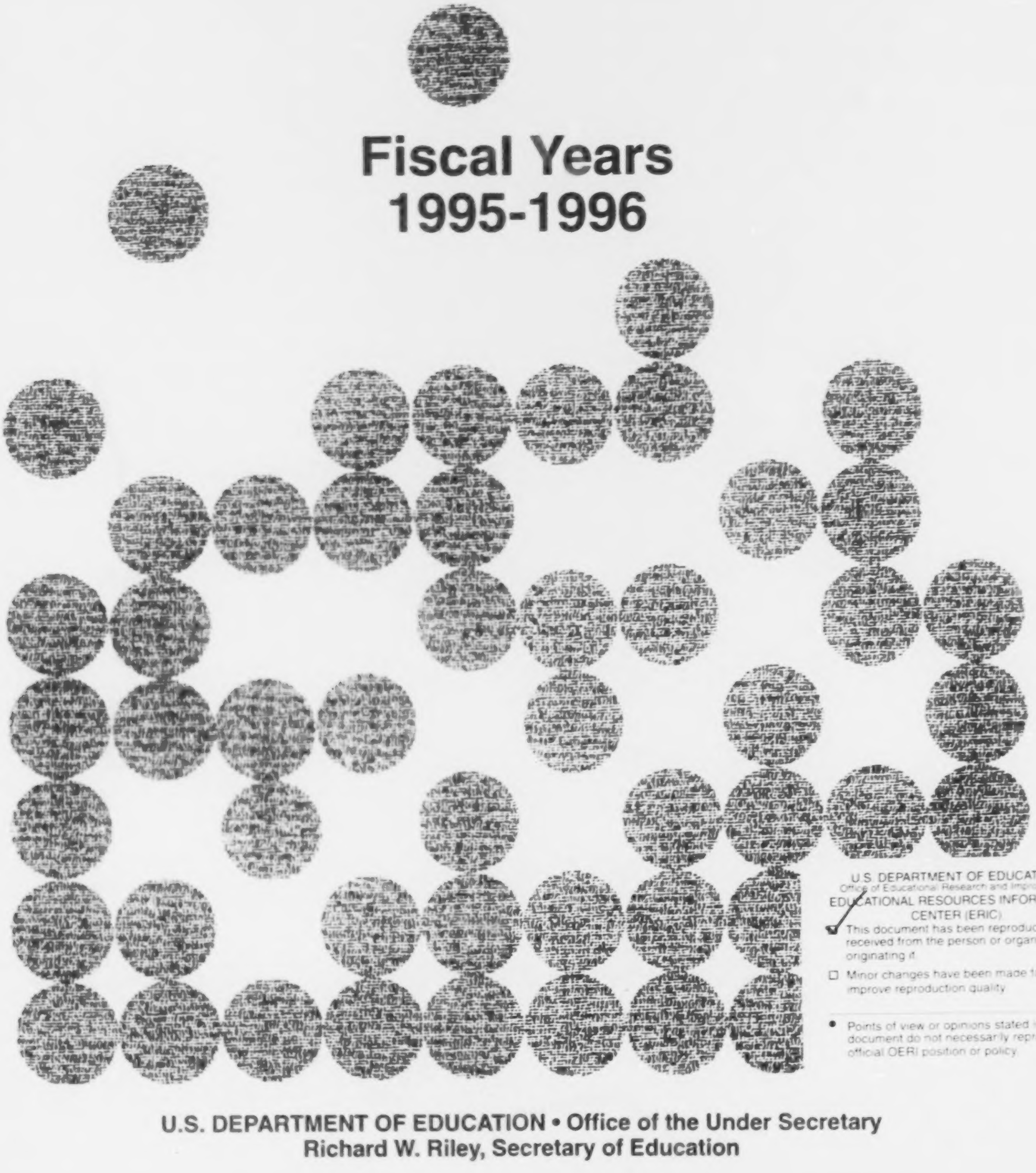

Fiscal Years
1995-1996

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Richard W. Riley, Secretary of Education

EA 028 960

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BIENNIAL EVALUATION REPORT

Fiscal Years 1995-1996

Richard W. Riley, Secretary
U.S. Department of Education

Office of the Under Secretary

Foreword

This is the 23rd report to the Congress on federally funded education programs and the fourteenth such report submitted by the Department of Education. The Biennial Evaluation Report responds to the Congressional mandate in Section 425(a) and (b) of the General Education Provision Act. The report is due March 31 of odd-numbered years.

For the fiscal years 1995-1996 report, there is information on 151 programs administered by the Department during those years. The report gives available information on the goals and objectives, funding, services supported, strategic initiatives, indicators of impact and effectiveness, and sources of information for those programs. It briefly describes planned studies and provides contact names for further information.

A priority of this report is to help respond to reporting requirements of the Government Performance and Results Act (GPRA) of 1993. Much of the information comes from the Department's efforts in developing a Strategic Plan and in developing performance indicators for its programs. The report displays the program performance indicators that were proposed to the Congress as of April 1997, with appropriate cross-references to tables of proposed indicators in program chapters. Since this report was drafted, these indicators have been further refined, and indicators have been developed and proposed to Congress for many other programs. The new indicators will be included in the next Biennial Evaluation Report covering fiscal years 1997 and 1998.

As in past editions, the report summarizes evaluation findings on what helps program participants to increase their achievement or improve their performance. We hope that evaluation findings and strategic initiatives to improve program services and program management will contribute to making Federal programs work even better.

I welcome your suggestions on making the Biennial Evaluation Report more useful in your work.

Marshall S. Smith
Acting Deputy Secretary

Acknowledgments

For the fiscal years 1995-1996 Biennial Evaluation Report, the Planning and Evaluation Service (PES) in the Office of the Under Secretary continued the effort to respond to the requirements of the Government Performance and Results Act of 1993, while improving the technical and editorial quality. Edward Glassman was again responsible for managing report preparation. Division Directors Valena Plisko, Ricky Takai and Acting Division Director Daniel Goldenberg reviewed all chapters on appropriate programs. All analysts in PES contributed through researching, writing, and revising program chapters. Secretaries Yvonne Briscoe and Angela Clarke typed numerous drafts, while Azalea Saunders maintained the tracking system for report documents and prepared the final camera-ready copy for printing. The Office of Public Affairs and Consultant Priscilla Taylor did the final technical editing. Nancy Rhett coordinated format design and implementation, and Angela Clarke, Brenda Long, and Geneise Cooke did the final formatting. Each program office helped with comments on draft chapters about its own programs. The Budget Service in the Office of the Under Secretary, the Office of General Counsel, and the Office of Legislation and Congressional Affairs, made valuable corrections in draft materials for the entire report. I thank them all for a job well done.

Alan L. Ginsburg
Director, Planning and Evaluation Service

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Office of Elementary and Secondary Education

Title I—Helping Disadvantaged Children Meet High Standards–
Part A–Improving Basic Programs
Operated by Local Educational Agencies
(CFDA No. 84.010)

I. Legislation

Title I, Part A of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Improving America's Schools Act (20 U.S.C.6301 et seq.) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$1,015,153,000	1987	$3,453,500,000
1970	1,219,166,000	1988	3,829,600,000
1975	1,588,200,000	1989	4,026,100,000
1980	2,731,682,000	1990	4,768,258,000
1981	2,611,387,000	1991	5,557,678,000
1982	2,562,753,000	1992	6,134,240,000
1983	2,727,588,000	1993	6,125,922,000
1984	3,003,680,000	1994	6,336,000,000
1985	3,200,000,000	1995	6,698,356,000
1986	3,062,400,000	1996	6,730,348,000

III. Analysis of Program Performance

A. Goals and Objectives

The Title I—Part A program provides over $7 billion to the nation's school districts and schools, especially in low-income communities, to improve education for children at risk of failing to achieve high standards. The program enables schools to provide extra opportunities and support that low-achieving children often need to acquire the knowledge and skills necessary to master challenging curriculum and meet challenging performance standards developed for all children. Congress identified the following key objectives for the program:

- Ensure a focus on high standards for all children, including those at risk of failing to meet them;
- Provide children with an enriched and accelerated educational program;
- Promote schoolwide reform, effective instructional strategies, and challenging content;
- Significantly upgrade the quality of curriculum and instruction;
- Coordinate services with other education, health, and social service programs;
- Afford parents meaningful opportunities to participate in the education of their children at home and at school;

- Distribute resources where the needs are greatest;

- Improve accountability; and

- Provide greater decisionmaking authority and flexibility to states, districts and schools in exchange for greater responsibility for student performance.

B. Strategies to Achieve the Goals

Services Supported

The 1994 reauthorization of Title I was informed by research indicating that closing the achievement gap between disadvantaged students and their more advantaged peers had stalled, and that the differences were influenced in large part by varying expectations and instructional programs for students. Moreover, studies of the antecedent Chapter 1 program found that in many cases, the program was operating separately from reform efforts at the state, local, and school levels. Thus, central to the principles of the program is the premise that aligning federally supported Title I resources and policies with state and local reform will reinforce and amplify efforts to improve teaching and learning for students at risk of school failure.

Title I provides additional funds to help school systems and students who are furthest behind attain high state standards, and to support teachers and other school staff in upgrading curricula and teaching. Title I funds are allocated to districts and schools in accordance with their number of low-income children. Since the reauthorization of the program, the proportion of high-poverty schools (those with 75 percent or more students receiving free/reduced-price lunch) participating in the Title I program rose from 79 percent in 1993–94 to 93 percent in 1995–96 (V.1&2). At the same time, the proportion of low-poverty schools (those with fewer than 35 percent of students receiving free/reduced-price lunch) declined from 49 percent to 45 percent. Overall, the proportion of schools receiving Title I funds rose slightly, from 62 percent in 1993–94 to 66 percent in 1995–96.

At the school and classroom levels, challenging standards and assessments for all students are intended to raise expectations and guide other elements that support improvement, such as challenging curricula and intensive professional development. Under Title I:

- Standards approved by the state for all children become those that apply to students served by the Title I program; assessments that measure performance in relation to the standards become the yardstick for gauging the progress of Title I in districts and participating schools, and for identifying districts and schools in need of improvement.

- The inclusion of all children in appropriate assessments is intended to hold school systems accountable for all children, regardless of whether they have limited English proficiency or disabilities, or are migratory.

Full implementation of an accountability system, based on assessments aligned with state content and performance standards, is mandated for the year 2001. Until then, states are required to implement interim measures for determining progress.

Schools offer Title I services through two different options. Over the next few years, the number of schoolwide programs is expected to increase, while the number of targeted-assistance schools decreases.

- High-poverty schools (those with 50 percent or more students from low-income families) are eligible to adopt schoolwide programs to upgrade curriculum and instruction throughout the entire school, thus serving all children under Title I.

- Other schools offer targeted assistance programs, for which the new legislation encourages the use of strategies such as extended day (before- and after-school programs), extended year, and summer programs to increase learning time for a targeted group of students.

In all Title I schools, school-parent compacts, parent involvement policies, and support for training and capacity building are intended to foster and maintain cooperation between schools and parents as partners in improved learning.

Participation in Title I by Students and Schools in 1996

Number of schools receiving Title I funds	50,000–54,000
Schoolwide programs	
Number of eligible schoolwide programs	22,000
Percentage of eligible schools participating	60–65%
Number operating schoolwide programs	13,200–14,300
Targeted assistance programs	
Number of participating schools	36,800-39,700
Number of students receiving Title I services	
In schoolwide programs	5.9–6.4 million
In targeted assistance programs	3.3–3.6 million
Students enrolled in private schools	173,000*
Total	9.3–10.1 million

(V.3) *Data reported in 1995.

Strategic Initiatives

Strategic initiatives for implementing Title I are intended to support federal, state, local, and school efforts to improve education for children at risk of failing to achieve high standards. The Department is supporting full implementation of Title I through the dissemination of information and guidance on Title I implementation issues, especially on schoolwide reform and best practices for teaching children who are at risk of failure. It is working with states, school districts, and professional associations to encourage schools in their improvement efforts.

C. Program Performance—Indicators of Impact and Effectiveness

Program performance objectives and indicators, addressing the impact and effective implementation of the Title I program, are outlined below.

Title I Grants for Schools Serving At-Risk Children			
Goal: At-risk students improve their achievement to meet challenging standards.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
At-risk students improve achievement			
1. **Student achievement in Title I schools and high-poverty schools generally will show significant improvement in core subjects.**	1.1 **State and local assessments.** Increasing percentages of students in Title I schools will meet or exceed the basic and proficient levels in state and local assessments (where in place).	1.1 State and Local Assessment Results, 1997; Longitudinal Survey of Schools, 1998	• Promote full implementation of Title I by disseminating information and guidance on Title I implementation issues, especially on schoolwide reform and best practices for teaching children who are at-risk of failure.
	1.2 **NAEP reading and math.** In Title I schools, especially those with high poverty, increasing percentages of 4th graders and 8th graders will meet or exceed the basic and proficient levels of the National Assessment of Educational Progress in reading and math.	1.2 NAEP (National and state), 1997	• Contribute to national campaigns to improve reading and math by focusing on the inclusion of high-poverty schools — Promote America Reads to encourage volunteers to extend learning in reading — Help develop and implement a plan to enable all students to become proficient in math
	1.3 **Other national tests.** Increasing percentages of students in Title I schools, especially those with high poverty, will improve on national tests.	1.3 Longitudinal Evaluation of School Change and Performance, 1998; National tests (Stanford 9, New Standards, etc.)	
Schools and classrooms provide high quality education to improve performance			

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
2. The number of Title I schools actively working to enable students to reach high standards will increase each year.	2.1 **Recognition for quality.** Increasing numbers of high-poverty schools will be designated as distinguished schools by their states.	2.1 Information from Title I State Administrators, 1997	● Working with professional organizations, promote assistance at the school level for improved performance by — developing an updated schoolwide idea book; — holding regional conferences on schoolwide reform with the technical assistance centers; — developing a listserv where schoolwide programs can share information with one another; — establishing a national directory of schoolwide program schools; — exploring multiple means, including electronic media, for disseminating information on effective schoolwide and targeted assistance programs.
	2.2 **Standards-based.** Increasing numbers of Title I schools will use high standards and linked assessments; by 2000 adoption will be universal.	2.2 ED State Implementation Survey, 1997; Longitudinal Survey of Schools, 1998; Baseline and Follow-up Surveys of Schools, 1997	
	2.3 **Research-based.** The number of Title I schools using comprehensive, research-based approaches to improve curriculum and instruction will increase annually (as evidenced by reporting they have implemented the components of targeted assistance or schoolwide programs).	2.3 Baseline and Follow-up Surveys of Schools, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Longitudinal Survey of Schools, 1998	● Promote assistance at the school level for improved performance and encourage innovation by — working with Title I state coordinators and other partners to establish summer extended time programs;

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
	2.4 **Extended learning time.** Increasing percentages of Title I schools will operate extended-school-year, before- and after-school, and summer programs.	2.4 Baseline and Follow-up Surveys of Schools, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Title I State Participation Information, 1997; Longitudinal Survey of Schools, 1998	— identifying and disseminating, in collaboration with HHS, descriptions of successful extended day programs; and — developing guidance on the use of Title I funds to support extended day programs.
3. **The qualifications and training for teachers and aides will reflect higher standards.**	3.1 **Well-qualified teachers.** Increasing numbers of teachers in high-poverty schools are recognized as outstanding, through such recognition as National Board for Professional Teaching Standards certification or identification as a distinguished educator.	3.1 Longitudinal Evaluation of School Change and Performance, 1998; International Reading Association membership survey, 1997; Longitudinal Survey of Schools, 1998; Schools and Staffing Survey, 1999	• Participate in cross-Department activities to promote excellent teaching, such as sponsoring a forum on excellence in teaching including the implications of the Third International Mathematics and Science Study (TIMSS).
	3.2 **Qualified teacher aides.** By 2000, — All Title I-supported instructional aides will have earned high school diplomas or GEDs within 2 years of employment (if they do not already have them or meet the statutory exemption). — Title I instructional aides will increasingly earn higher education degrees (through career ladder programs).	3.2 Title I State Performance Report for baseline, 1997; International Reading Association membership survey, 1997; Follow-up Survey of Schools, 1997; Longitudinal Survey of Schools, 1998	• Support best practice to recruit the most talented people into the teaching profession by — developing materials and models for recruiting paraprofessionals, especially in urban areas, to become qualified teachers (e.g., including information on federal student aid in the paraprofessional idea book).

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
	3.3 **Teacher training linked to standards.** The number of teachers and instructional aides in Title I schools who report that they are participating in professional development tied to state standards and designed to improve classroom instruction will increase annually.	3.3 Baseline Survey of Teachers, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Title II Evaluation, 1998; Longitudinal Survey of Schools, 1998	
States and districts provide a framework for improvement and effective and well-targeted support			
4. **State policy, monitoring, and assistance will promote school and classroom improvements toward challenging standards.**	4.1 **High expectations and standards.** — By 1997-98, states will develop rigorous performance standards in reading and math for Title I schools that are the same as those expected of all students. — States will develop measures of adequate progress that are substantially more rigorous than those developed under the antecedent Chapter 1 program.	4.1 ESEA Consolidated State Plans, 1997; ED State Implementation Survey, 1997	• Help states and school districts develop and implement challenging standards for academic content and student performance and valid, reliable and inclusive assessments by — encouraging states to share information on model standards and effective methodologies for state assessment; — working with states through the consolidated planning process; and — providing states with on-site technical experts in the field of assessment.
	4.2 **Linked assessments.** States that develop/adopt high-quality assessments linked to high standards in reading and math to measure the performance of all children use those same assessments to measure the performance of students in Title I schools.	4.2 ED State Implementation Survey, 1997	— finalizing and disseminating the standards, assessment and accountability guidance; and — providing support on assessment issues from the ED service teams and technical assistance centers.

Title I Grants for Schools Serving At-Risk Children			
Goal: At-risk students improve their achievement to meet challenging standards.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
	4.3 **Accountability: monitoring, assistance and intervention.** States and districts will effectively monitor school improvement, provide assistance, and take appropriate action for poorly performing schools.	4.3 ED State Implementation Survey, 1997; ED integrated review team monitoring, 1997 (annual); Local District Survey, 1997; Longitudinal Survey of Schools, 1998	• Working with national organizations, promote assistance at the school level for improved performance by — developing written materials describing different approaches and models for establishing school support teams; — disseminating these materials through multiple sources, including the ED service teams and the technical assistance centers; — establishing a listserv for school support team members to share information on effective practices; and — convening a meeting of school support team representatives, in conjunction with the schoolwide program conferences.
Parents and schools as partners for children's learning			

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
5. Family involvement in learning will improve in Title I schools.	5.1 **School-compacts.** Increasing percentages of school staff and parents will report that school-parent compacts are a useful tool for enhancing communication between parents and school to improve student learning.	5.1 NCES Household Survey, 1996; Barriers to Parent Involvement Study, 1996; Follow-up Survey of Schools, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Longitudinal Survey of Schools, 1998	• Support increased parent and family involvement through — disseminating a school-parent compact handbook; — working with ED partners to develop strategies for increasing parent involvement; and — promoting family literacy options.
	5.2 **Improved attendance and homework completion.** Increasing percentages of schools will report improved student engagement as a result of parental involvement.	5.2 Follow-up Survey of Schools, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Longitudinal Survey of Schools, 1998	
	5.3 **Accessibility and communications.** Increasing percentages of parents report that their child's principal and teacher are accessible, communicate clearly, and involve the parents as partners in their child's learning.	5.3 Longitudinal Evaluation of School Change and Performance, 1998	

High quality and customer-responsive federal administration

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
6. Federal leadership, assistance and guidance will support school improvement in partnership with states and local districts.	6.1 **Useful guidance.** The number of state and local program coordinators who report that Title I implementation guidance is timely, understandable, and informative will increase annually.	6.1 ED Federal Implementation Study (survey of LEAs), 1996; Local District Survey, 1997; ED State Implementation Study, 1998	• Support school improvement in partnership with the states by — establishing a Title I homepage; — using a consultative process with Title I administrators in developing guidance materials; — using electronic mechanisms to respond to questions; and — using the results of district survey to design additional dissemination efforts.
	6.2 **Impact on local understanding.** The number of schools reporting that their staff are knowledgeable about the provisions of Title I and how to use Title I to increase student performance will increase annually.	6.2 Baseline and Follow-up Surveys of Schools, 1997; Longitudinal Evaluation of School Change and Performance, 1998; Longitudinal Survey of Schools, 1998	
	6.3 **Impact on local performance measurement.** Federal technical assistance and other support to states will result in an increase in the number of local school districts with the capacity to disaggregate assessment data.	6.3 Integrated review team monitoring, 1997 (annual); ED State Implementation Study, 1998	• Support school improvement in partnership with the states by — working with state organizations; and — developing a process for sharing information on effective disaggregation techniques and through the technical assistance centers

Title I Grants for Schools Serving At-Risk Children

Goal: At-risk students improve their achievement to meet challenging standards.

Objectives	Indicators	Source and Next Update	Strategies
	6.4 **Improved dissemination.** Title I administrators and educators concerned about at-risk children will have access to high-quality, convenient information on effective practices and federal requirements.	6.4 Integrated review team monitoring, 1997 (annual); Baseline and Follow-up Surveys of Schools, 1997; Local District Survey, 1997; Longitudinal Survey of Schools, 1998	• Create a dissemination network with a single point of entry to provide clear and timely responses to inquiries from educators serving at-risk children. • Distribute information through publications widely read by administrators and teachers for at-risk children.

Preliminary findings with respect to key objectives follow. They primarily provide baseline data with which subsequent measures of the program's impact will be compared.

Objective 1: Student achievement in Title I schools and high-poverty schools generally will show significant improvement in core subjects.

Preliminary findings from state assessments

States that established standards-based assessment and accountability systems predating Title I's shift in this direction can provide the best current evidence of the impact of Title I. For example, early progress among Title I schools in Kentucky is evidenced by their gains in achieving goals for student learning established by the state. During the first testing cycle, which began in 1992, elementary Title I schools achieved 113 percent of their goal, while non-Title I schools had achieved at a higher rate, meeting 126 percent of their goal. In the second cycle, which concluded in 1996, the progress of elementary Title I schools in meeting the state's goal (129 percent), exceeded that of non-Title I elementary schools (which met 119 percent of the goal) (V.4).

Progress among Title I schools is also evident in Texas where, in 1992–93, 24 Title I schools attained the state's "recognized" status based on their performance on the Texas Assessment of Academic Skills (TAAS). By 1995–96, the number earning recognized status reached 875. In addition, the gap has narrowed significantly for students in grades 3 and 7 in both reading and math between economically disadvantaged students and their peers with respect to passing rates on the TAAS (V.5).

Baseline data from national assessments

Results from the *National Assessment of Educational Progress (NAEP)* provide a baseline for tracking the progress of disadvantaged students throughout the implementation of Title I. An analysis of NAEP trends in reading found that the achievement gap between students in high-poverty schools (those with at least 75 percent of students eligible for subsidized lunch) and their more advantaged counterparts widened between 1984 and 1992. The gap for nine–year old students tested in 1984 was 20 points, and it widened to 34 points by the time the cohort of students (at age 17) was tested in 1992 (V.6).

NAEP findings illustrating the gap in achievement between students in high- and low-poverty schools are further corroborated by the *Prospects* study, which found that the achievement gap between students in high- and low-poverty schools, based on criterion-referenced scores, widened as students progressed through several grades over a three-year period (V.7).

Objective 2: The number of Title I schools actively working to enable students to reach high standards will increase each year.

Reports from principals and teachers regarding standards-based school reform efforts

Baseline surveys of principals indicate that schools serving high concentrations of poor children and implementing Title I schoolwide programs are more likely than lower-poverty schools to be implementing, to a moderate or great extent, various strategies in support of comprehensive reforms. Thirty-one percent of principals in schools with poverty rates of 50 percent or higher noted that they were implementing comprehensive reform strategies, including strategic planning, professional development linked to content, curriculum materials and technology supportive of content, adaptations for students who have learning disabilities or limited English proficiency, assessments used for accountability and school improvement, parent involvement linked to student learning, and restructuring the school day to focus on content (V.8).

Among principals in the highest poverty schools (with 75 percent or more students eligible for free or reduced price lunch), 22 percent report that all, and 54 percent report that most, of their school staff are ready to set or apply new high standards of achievement for their students. Sixteen percent of principals in the lowest poverty schools (with fewer than 35 percent of students receiving free or reduced price lunch) report that all, and 62 percent report that most, of their school staff are ready to set or apply new high standards (V.2).

Almost all teachers in high poverty schools report that they understand the concept of higher standards very well (49 percent) or somewhat well (47 percent). Teachers in the lowest poverty schools understand the concept of higher standards very well (38 percent) or somewhat well (56 percent). Thirty-eight percent of teachers in high poverty schools and 35 percent in low poverty schools report that they are very well equipped to apply standards. While 55 percent (in high poverty schools) and 56 percent (in low poverty schools) report that they are somewhat well equipped to implement standards (V.8).

Extended learning time

The baseline survey of principals found that an increasing proportion of Title I funds are being used to support extended learning opportunities. Sixty-four percent of all Title I schools use funds to support opportunities for extended learning time (during the school year). However, this is a more common strategy used in schoolwide programs (70 percent) than in targeted–assistance schools (59 percent). Thirty-seven percent of all Title I schools use funds to provide summer learning opportunities. Again, Title I funded extended learning time during the summer is more common in schoolwide programs (45 percent) than in targeted–assistance schools (30 percent) (V.2).

Objective 3: The qualifications and training for teachers and aides will reflect higher standards.

Well-qualified teachers

Data on teachers in high-poverty schools who have been certified by the National Board for Professional Teaching Standards (NBPTS), or recognized as distinguished educators are not yet available. However, the NBPTS reports that a very small number of the 595 teachers identified as certified by the NBPTS, had an affiliation with Title I (V.9).

Qualified teacher aides

The use of teacher aides appears to be more prevalent in high-poverty schools (most of which are served by Title I) than in low-poverty schools. In 1994, whereas 23 percent of first–graders in low-poverty schools were in reading classes with teacher aides, 44 percent of first–graders in high-poverty schools were in such classrooms. Aides also tended to work with either low-achieving students or with a mix of students in the class; rarely were they assigned to work with high-achieving students (V.10).

Teacher training linked to standards

Baseline findings from a survey of teachers indicate that those serving students in high-poverty schools were most likely to have participated in professional development training linked with high standards. Thirty-seven percent of teachers in the highest–poverty schools (those with 75 percent or more children receiving free/reduced–price lunch) participated to a great extent in professional development aligned with standards, contrasted with 26 percent of teachers in the lowest–poverty schools (V.8).

Objective 4: State policy, monitoring, and assistance will promote school and classroom improvement toward challenging standards.

High expectations and standards

Title I requires that, by the 1997–98 school year, states must develop content and performance standards in the core subjects of reading/language arts and math. Most states have established content standards in the core subjects, but they are less far along in the development of performance standards (V.11).

The development of an accountability system based on established standards is required once the standards, along with aligned assessments, are in place—as required by the year 2000. In the interim, however, states are using measures to hold schools accountable for improvement. Under the former Chapter 1 program, most states set a minimal standard of gain. Under Title I, accountability measures are expected to be substantially more rigorous than those developed under the antecedent program. A recent analysis of accountability measures, described in state plans, indicates that states are setting specific targets either for significant growth in Title I student achievement or targets designed to reduce the gap between high– and low–achieving students (V.12).

In addition, a 50-state survey of Title I directors conducted in early 1997, found that 19 directors believe their state's accountability measures are about right, contrasted with 6 who believe their state's measures are too high, and 21 that do not yet have accountability measures (V.13).

Accountability: Monitoring, assistance, and intervention

States report implementing some changes in their Title I monitoring practices since the implementation of the new law; 42 states report that the program's monitoring procedures represent a change from what was done in the past. Half of all states note that monitoring visits are triggered by information suggesting that a local site is having trouble meeting program requirements. Monitoring visits in one-fourth of the states are triggered by information about student performance.

In addition, 80 percent of state Title I directors have hired staff who are experienced providers of technical assistance, 68 percent provide professional development for program monitors, and 44 percent send questionnaires to local districts inquiring about their technical assistance needs (V.13). This is in contrast to findings from the National Assessment of Chapter 1, which noted that state monitoring for compliance purposes, particularly associated with targeting, was most common prior to reauthorization (V.14).

State support teams

Preliminary findings indicate that all states have established school support teams that reflect a wide range of expertise and experience, but their early impact has not been measured. Among states, 80 percent of school support teams include teachers, 78 percent include principals, 74 percent include Title I coordinators, 60 percent include representatives from faculty of higher education institutions, 56 percent include retired educators, 54 percent include state government employees, and 50 percent include pupil services personnel (V.13).

Objective 5: Family involvement in learning will improve in Title I schools.

School-parent compacts

A majority of states report that they have helped schools and districts to craft written parent involvement policies and school-parent compacts. For example, 31 states report that they have helped districts develop district–level policies, 32 report they have helped schools develop school policies, and 30 report that they have helped schools develop school-parent compacts (V.15).

Although the extent to which compacts are actually being implemented has not yet been determined, 64 percent of teachers in the highest–poverty schools report engaging in activities to promote the sharing of responsibility with parents for the academic performance of their children through compacts or other means (V.8).

Improved involvement in children's learning

Findings from a baseline survey of schools suggest that educators believe that a large number of parents in Title I elementary and middle schools do want to be involved in their children's education. For example, 76 percent of Title I principals in K–8 schools report that half or more of their parents attended an open house or back-to-school night in the past year, and 77 percent of Title I principals report that half or more of their parents attended parent-teacher conferences (V.16). Survey data also show, however, that parent involvement in school events is significantly lower among low-income parents, parents with little education, and parents of older children (V.16&17). These findings suggest that significant barriers to parent involvement exist in Title I schools, especially for certain groups of parents.

Accessibility and communications

Almost all Title I schools report giving parents information about the academic performance of the school and their children's achievement. Fifty-five percent of Title I principals surveyed nationally report that they always provide parents with information on the school's goals and instructional objectives, and 26 percent report that they frequently do. Sixty-nine percent of Title I school principals give parents information on the school's performance on standardized tests, and 14 percent report that they frequently do (V.16).

Twenty-seven percent of Title I schools that make home visits have a home-school coordinator, compared with just 9 percent of non–Title I schools, and high-poverty Title I schools are more likely to have home-school coordinators than low-poverty Title I schools (V.16).

Objective 6: Federal leadership, assistance, and guidance will support school improvement in partnership with states and local districts.

Useful guidance

Baseline data collected from a majority of state (Title I and Goals 2000) administrators (81 percent) indicate that they found written and other guidance from the U.S. Department of Education very helpful or helpful (V.18).

Impact on local understanding

A baseline survey of districts indicates that representatives from most local districts have reasonably high levels of understanding of the new Title I provisions related to flexibility and accountability, but some provisions are understood better than others. Eighty-five percent of districts report "reasonable" or "full" understanding of schoolwide programs; 83 percent understand Title I requirements for reporting assessment results by student proficiency levels; and 69 percent of districts understand related provisions for technical assistance to low-performing schools (V.19).

At the school level, principals in Title I schoolwide programs consistently report greater levels of understanding about key provisions of the program than their counterparts in targeted–assistance schools do. Eighty-two percent of principals in schoolwide programs, compared with 57 percent in targeted–assistance schools, are familiar to a moderate or great extent with the requirement to apply high state-approved standards for all students. Eighty-three percent of schoolwide principals and 66 percent of those in targeted–assistance schools are familiar with school-parent compacts. Principals in both schoolwide programs (90 percent) and targeted–assistance schools (80 percent) report familiarity with requirements for using student performance results for school accountability and continuous improvement (V.2).

Improved dissemination

Baseline surveys at the state and local level found that state officials identify federal sources of information and assistance as very helpful in their reform efforts and implementation of federal programs (including Title I), as well as professional associations and education publications. Districts find federal sources the least helpful; they rely more heavily on state sources, professional association, and education publications (V.18).

IV. Ongoing and Planned Studies

Longitudinal Evaluation of School Change and Performance. The purpose of this study is to evaluate the impact of the key features of the new Title I legislation on schools, classrooms, and students. The evaluation will examine a selected sample of Title I elementary schools and track the impact of key features of the new legislation, such as standards-based curriculum, and schoolwide programs, on both instructional practices and student achievement. The content areas of central importance are reading and mathematics. Annual reports will be available as of 1998. A final report is due in 2000.

Crosscutting Baseline Surveys of School Principals and Teachers. These two surveys provide baseline data on principals' and teachers' perceptions of systemic education reform and the extent to which reform activities are being implemented in their schools. The surveys of both principals and teachers focus on high standards for all students and alignment of curricula, instruction, textbooks, innovative technologies, and student assessment with these high standards. They also address parent involvement, information needs, and good sources of information for principals and teachers. The teachers' survey also collects initial data about professional development. The principals' survey specifically addresses changes in Title I since reauthorization. The reports will be available in 1997.

Follow-Up Public School Survey on Education Reform. This study will follow up a spring 1996 survey of principals to collect information on understanding and implementation of state-established content and performance standards and the Title I provisions supporting use of those standards. A report is due in 1998.

Longitudinal Survey of School Implementation of Standards-Based Reform and Title I. The national longitudinal survey of schools will examine how schools are implementing standards-driven improvements, with a particular focus on implementation of the new provisions in the Title I program supporting such improvements. The study will look at how schools use their outcome data to change classroom practice and how they measure progress continuously. The first interim report will be completed in spring 1999, followed by a second interim report in fall 1999 and a final report in 2000.

Crosscutting Study of Local Implementation of Federal Elementary/Secondary Programs. This study is analyzing districts' efforts to support the implementation of ESEA programs—particularly Title I, and Goals 2000—within the context of state and local reforms. Particular attention will be paid to program governance in addition to support for effective instruction and family/community partnerships. A final report will be completed in winter/spring 1998.

Crosscutting Study of State Implementation of Federal Elementary/Secondary Programs. This study will provide baseline data regarding the planning process and early implementation of Goals 2000 and ESEA programs, particularly Title I. The evaluation will focus on how the legislative framework and federal resources under Goals 2000 and ESEA are incorporated into the context of state school improvement efforts. The study will also address state activities, including the process of developing state plans, setting standards, and aligning assessments with higher standards in the basics and core subjects, and state support for school improvement, including the ways states provide professional development and technical assistance to districts in planning, performance accountability (including incentives and sanctions), and other supports (such as waivers) to encourage local flexibility and innovation. The report will be completed in 1997.

Crosscutting Evaluation of Federal Efforts to Assist in School Reform. This study will report data collected, from the customers' perspective, on the federal government's processes and performance in promoting improved practices, at the state, local, and school levels in implementing federally supported reform efforts. It will address congressional mandates (ESEA, Section 14701) to evaluate federal assistance to states, focusing on the role and effectiveness of the Department's communications, technical assistance, issuance of regulations, review of plans, and other efforts. Preliminary findings were reported in March 1997. A final report will be available in 1997.

Targeting and Resource Allocation Study. This study will examine how the targeting of Title I and other federal funds at the school district level has changed since the program's reauthorization in 1994, how Title I and other federal resources are allocated among various strategies for improving student achievement, and how the use of resources varies across schools and districts (e.g., by school poverty level and size of allocation).

A final report is due in January 1999.

Title I within District Targeting Study. This study examines the targeting of Title I funds at the school level, including how districts allocate Title I funds to schools, the poverty data used to determine eligibility, and exceptions made to the rules governing allocations. Special attention is being given to (1) allocations for high schools and middle schools, (2) the level of Title I funding in schoolwide programs compared with targeted assistance schools, (3) effects of the minimum allocation rule for Title I schools, and (4) the extent to which waivers are used to provide Title I funds to schools that would not otherwise be eligible. A final report is due in October 1997.

Evaluation of Title I Services to Secondary School Students. This study will examine Title I services in secondary schools, and the extent to which the quality of teaching and learning is strengthened through the use of promising approaches and whole school reform in secondary schools. This study will inform the congressionally mandated National Assessment of Title I and evaluations of other federal education programs authorized during the 103rd Congress. In addition, by documenting Title I programs in secondary schools and identifying key elements that contribute to success, this study will provide concrete examples of exemplary practices for policymakers and district and school administrators.

Title I Performance Indicator Development and Support--Federal Priorities and Support for States. This effort includes a review of state plans, progress reports, and performance and monitoring reports, in addition to evaluative studies, to measure the extent of progress under the Title I program in accordance with selected performance indicators. In addition to using indicators identified by the program, the effort will focus on the numbers of students and schools participating, schools choosing schoolwide programs, and schools identified for improvement. The data will be routinely collected through annual state reporting, supplemented by more in-depth information compiled through program monitoring.

Barriers and Successes in Involving Title I Parents in the Education of Their Children. The study presents findings on common barriers to effective parent involvement in Title I schools. It also reports on local policies and programs that have overcome these barriers, increased parent involvement, and improved the performance of children. An ideabook for educational practitioners and policymakers will follow from the findings. A final report was completed in March 1997.

Evaluation of Title I Participation of Private School Students. The study will report on short-term trends in participation rates of private school students; patterns in the use of various service delivery options and the grade levels served; strategies used to identify eligible private school students and to select those that will receive services; consultation and coordination between school districts and private school representatives, parents of private school students, and private school administrators and teachers; strategies used to identify student learning needs and to assess student learning outcomes; use and impact of capital expense funds to serve private school students. A final report is due in winter 1998.

V. Sources of Information

1. Schools and Staffing Survey 1993-94 (Washington, DC: U.S. Department of Education, unpublished tabulations).

2. Public School Survey on Education Reform (Washington, DC: U.S. Department of Education, publication expected in 1997).

3. U.S. Department of Education—Fiscal Year 1998 Justification of Appropriations to the Congress (Washington, DC: Office of Management and Budget, 1997).

4. Unpublished memorandum regarding analysis of KIRIS assessment results in Title I schools (Lexington, KY: Kentucky Department of Education, 1997).

5. Data reported from the Texas Assessment of Academic Skills (TAAS) (Austin, TX: Texas Education Agency, 1997).

6. Secondary analysis of the National Assessment of Educational Progress, as cited in Mapping Out the National Assessment of Title I (Washington, DC: U.S. Department of Education, 1996).

7. Prospects: Final Report on Student Outcomes (Cambridge, MA: Abt Associates, 1997).

8. Public School Teacher Survey on Education Reform (Washington, DC: U.S. Department of Education, publication expected in 1997).

9. Phone conversation with staff from the National Board for Professional Teaching Standards, 1997.

10. Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity, Volume 1 (Cambridge, MA: Abt Associates, 1994).

11. Annual Survey of State Assessment Directors (Washington, DC: Council of Chief State School Officers and North Central Regional Educational Lab, publication expected in 1997).

12. Unpublished analysis of consolidated state plans for implementing federally-supported elementary/secondary programs (Washington, DC: U.S. Department of Education, Office of Elementary and Secondary Education, 1997).

13. Survey of State Implementation of Federal Elementary/Secondary Programs (Washington, DC: Policy Studies Associates, publication expected in 1997).

14. Reinventing Chapter 1: The Current Chapter 1 Program and New Directions. Final Report of the National Assessment of Chapter 1 Program (Washington, DC: U.S. Department of Education, 1993).

15. Survey of State Policies and Practices Regarding Family Involvement— unpublished tabulations (Washington, DC: Council of Chief State School Officers, 1996).

16. Survey on Family and School Partnerships in Public Schools, K-8 (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1996).

17. National Household Education Survey, unpublished tabulations (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1996).

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18. Cross-cutting Study of Federal Implementation—Reports on Reform from the Field: District and State Survey Results (Washington, DC: The Urban Institute, publication expected in 1997).

19. Memorandum to Congress Regarding Findings From the Baseline Survey of Districts (Washington, DC: U.S. Department of Education, March 1997).

VI. Contacts for Further Information

Program Operations:	Mary Jean LeTendre, (202) 260-0826
Program Studies:	Joanne Bogart, (202) 401-1958

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Migrant Education Program--Financial Assistance to State Education Agencies (CFDA No. 84.011)

I. Legislation

Title I, Part C, of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Improving America's Schools Act of 1994 (20 U.S.C. 6391 and 6362) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$9,737,847	1987	$264,524,000
1970	51,014,000	1988	269,029,000
1975	91,953,000	1989	271,700,000
1980	245,000,000	1990	282,444,000
1981	266,400,000	1991	294,492,000
1982	255,744,000	1992	308,298,000
1983	255,744,000	1993	302,773,000
1984	258,024,000	1994	302,193,000
1985	264,524,000	1995	305,475,000
1986	253,149,000	1996	305,474,000

III. Analysis of Program Performance

A. Goals and Objectives

The Migrant Education program (MEP) provides financial assistance to state education agencies (SEAs) to establish and improve programs of education for children of migratory agricultural workers and fisherman. SEAs receive funding to (1) support high-quality and comprehensive educational programs for migratory children to help reduce the educational disruptions and other problems that result from repeated moves; (2) ensure that migratory children are provided with appropriate educational services (including supportive services) that address their special needs in a coordinated and efficient manner; (3) ensure that migratory children have the opportunity to meet the same challenging state content and challenging state student performance standards that all children are expected to meet; (4) design programs to help migratory children overcome educational disruption, cultural and language barriers, social isolation, various health-related problems, and other factors that inhibit the ability of such children to do well in school, and to prepare such children to make a successful transition to postsecondary education or employment; and (5) ensure that migratory children benefit from state and local systemic reforms.

B. Strategies to Achieve the Goals

Services Supported

The MEP provides formula grants to state education agencies (SEAs) to be used for supplemental education and support services for migrant children. Funds are allocated through a statutory formula based on each state's per–pupil expenditure for education and counts of migratory children, ages 3 through 21, residing within the state. Migratory children eligible to be counted and served by the program are those who have moved within the last three years. The statute also authorizes a set-aside of up to $6 million from the annual appropriation for contracts and grants to improve inter- and intrastate migrant coordination activities, including academic credit accrual and exchange programs for migrant students. Coordination monies currently fund a toll-free telephone number that migrant families can call to reach the nearest migrant education program, and discretionary grants to apply technology and learning for migrant families.

Each year the MEP must reserve, from the $6 million set-aside for coordination activities, up to $1.5 million for incentive grants to encourage states to work together and reduce administrative costs, thus increasing funds available for direct services to migrant children. Approved consortia arrangements currently include projects in which states coordinate identification and recruitment efforts; administer out-of-state testing for students whose home base is another state; use distance learning technology; and collaborate in the multistate development of assessment instruments to improve academic placement of migrant students in core subject areas.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are under development.

IV. Planned Studies

Congressionally Mandated Study of Migrant Student Participation in Title I Schoolwide Programs. This evaluation will address several main issues including: (1) to what extent are schoolwide programs that serve migrant students being adopted; (2) what role do SEA resources play in encouraging initiation of schoolwide programs and providing technical assistance as reported by SEA and school staff; (3) what features are common to implementing sites; (4) what evidence is there from sites that have been in operation for some time of increased achievement and better education outcomes for migrant students or, in the case of newly adopting sites, what changes are being adopted? The final report is due to Congress in December 1997.

Descriptive Study of Student Record Transfer for Highly Mobile Students. This study will examine strategies used by states and local education personnel--including evolving state and interstate electronic systems--to provide effective transfer of student records for migrant and other highly mobile students. The report is expected to be completed in fall 1997.

Longitudinal Survey of School Implementation of Standards-Based Reform and Title I. The national longitudinal survey of schools will examine how schools are implementing standards-driven improvements, with a particular focus on implementation of the new provisions in the Title I program supporting such improvements. The study will look at how schools use their outcome data to change classroom practice and how they measure progress continuously. A distinguishing characteristic of this study will be its ability to provide data on schools with a high proportion of limited-English-proficient, migrant, and American Indian students, through drawing separate samples of schools with significant proportions of students from these populations. The first interim report will be completed in spring 1999, followed by a second interim report in fall 1999 and a final report in 2000.

V. Sources of Information

Program files/periodic studies/annual performance reports.

VI. Contacts for Further Information

Program Operations: Baylu F. White, (202) 260-1164

Program Studies: Martha Chavez, (202) 401-1958

Formula Grants to States for Neglected or Delinquent Children
(CFDA No.84.013)

I. Legislation

Title I, Part D, of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act (20 U.S.C. 8091) (expires September 30, 1999).

II. Funding History

State Agency Programs (Part D, Subpart 1)

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,262,000	1987	$32,616,000
1970	16,006,000	1988	32,552,000
1975	26,821,000	1989	31,616,000
1980	32,392,000	1990	32,791,000
1981	33,975,000	1991	36,107,000
1982	33,616,000	1992	36,054,000
1983	32,616,000	1993	35,407,000
1984	32,616,000	1994	35,407,000
1985	32,616,000	1995	39,311,000
1986	31,214,000	1996	39,311,000

Local Agency Programs (Part D, Subpart 2)

Fiscal Year	Appropriation*	Fiscal Year	Appropriation*
1995	$45,973,000	1996	$45,949,000

*These amounts are derived from funds provided for children and youth ages 5 through 17 living in local institutions for delinquent children and adult correctional institutions under the Title I, Part A, formula.

III. Analysis of Program Performance

A. Goals and Objectives

The programs authorized in Part D provide support to states and local education agencies (LEAs) for education programs to meet the special education needs of children and youth who are neglected, delinquent, or at-risk academically. The programs are designed with the expectation that these children and youth will meet the same challenging academic standards expected of all children.

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Part D consists of two specific programs:

1. Part D, Subpart 1 of Title I (formerly Part D of ESEA, Chapter 1), provides assistance to state agencies that operate educational programs for children and youth in institutions or community day programs for neglected or delinquent (N or D) children and in adult correctional facilities. Funds are allocated to states through a formula based primarily on the number of children and youth within their state agencies enrolled in a regular program of instruction operated by a state agency for at least 20 hours per week (if in an institution or community day program for N or D children and youth) or 15 hours per week (if in an adult correctional facility).

2. Part D, Subpart 2 (a new ESEA program created by P.L. 103-382, Improving America's Schools Act of 1994), provides assistance to LEAs for children and youth who are in local correctional facilities (including institutions for delinquent children) or are otherwise at risk of academic failure. The amount available to LEAs is derived from funds generated by children ages 5 through 17 residing in local institutions for delinquent children and adult correctional facilities under the Title I, Part A, formula, which the state retains and subgrants to LEAs either through a formula or on a competitive basis.

B. Strategies to Achieve the Goals

Services Supported

State-operated institutions and community day programs supported by Part D, Subpart 1, of Title I serve juveniles who are under 21 years old, lack a high school diploma or its equivalent, and are enrolled in a regular program of instruction. Program funds also support the transition of children and youth into educational programs or employment after they leave the institution or community day program. Part D, Subpart 1, contains a new provision that encourages institution-wide programs designed to serve the entire student population in a facility.

State agency N or D grants supported programs in all 50 states, Puerto Rico, and the District of Columbia in both 1991–92 and 1993–94. In 1993–94, 81 percent of the 222,394 students eligible for Title I, Part D, Subpart 1, services were served (V.1). In 1991, 59 percent of all juvenile facilities, and 26 percent of all adult institutions, operated a Title I, Part D, Subpart 1, program (V.2).

In some state-administered facilities, the population of neglected youth is larger than that of delinquent youth. In such cases, efforts are concentrated on activities for the population in need. For instance, in Massachusetts in FY 1997, 51 juvenile institutions received funding to provide services to 937 neglected youth. At the same time, 17 Massachusetts facilities received funding to provide services to 473 delinquent youth (V.3). Programs receiving Title I, Part D, Subpart 1, funding vary according to facility need. Funds are generally spent on staff salaries, instructional materials, computer hardware and software, staff training, and other education-related expenses (V.3). Facilities receiving funding under this program report the ability to upgrade their curriculum, technology, and staff professionalism (V.3).

The 1991 evaluation of the program found that many facilities receiving state agency N or D funds supported academic activities such as reading (81 percent), mathematics (80 percent), and language arts (52 percent). State N or D services also supported English as a Second Language (ESL) programs, study skills instruction, counseling, social skills training, and transitional services (V.2).

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The Part D, Subpart 2, LEA program supports activities that serve children and youth under 21 who are in locally operated correctional facilities and delinquent institutions, or who are otherwise at risk. The statute broadly defines at-risk youth to include school-age youth who are at risk of academic failure, have drug or alcohol problems, are pregnant or parents, have come in contact with the juvenile justice system, are behind expected grade level appropriate for age, have limited English proficiency, are gang members, have dropped out of school, or have high absentee rates from school. Projects may use funds for a variety of activities such as dropout prevention programs, vocational education programs, alcohol and drug abuse counseling, health and social services, and career counseling.

Strategic Initiatives

The institution-wide project authorization contained in Section 1416 of ESEA encourages state agency N or D programs to combine their Title I funds with other federal and state education funds to upgrade the delivery of services to all students in the institution. This model allows the institution to focus comprehensively on strengthening its entire instructional program rather than focusing specific services piecemeal on individual students. In the past, state agency N or D projects generally employed Title I teachers to work only with Title I–eligible students. Instruction would often occur individually, in a small classroom setting, or through teacher assistants who provide individual assistance to targeted youth in the classroom. State agency N or D programs have typically focused on remediating math, reading, and language skills for those students in need of services. Early findings from a few states indicate that there is great variability in agencies' preference for targeted assistance or institution-wide programs based on their needs (V.3).

Transition services are critical to school reenrollment efforts and success in seeking employment. Programs that facilitate a connection with school districts increase the likelihood that a student will be more successful upon release. Research has suggested that transitional services include: interagency coordination, joint planning, transfer of records prior to the student's move from one jurisdiction to another, and availability of prerelease transition programs for incarcerated youth (V.4).

Title I, Part D, also requires each state agency or LEA that conducts a program under Subparts 1 or 2 to evaluate at least once every three years the impact of the program and its ability to (1) maintain and improve student educational achievement; (2) enable students to accrue school credits that meet state requirements for grade promotion and high school graduation; (3) help participating juveniles make the transition to regular education services upon release; and (4) help program participants complete high school and obtain employment after leaving the institution (V.3).

C. Program Performance—Indicators of Impact and Effectiveness

Although program performance indicators are being developed, objectives of the program provide a framework for assessing available information on the progress of the Title I, Part D, Programs for Neglected, Delinquent, or At-Risk Children and Youth.

Objective 1: At–risk and N or D students will show significant improvement in reaching challenging academic standards set by states.

Although some jurisdictions that operate Title I, Part D, programs use norm-referenced tests to assess youth receiving services, there is dissatisfaction with their limited focus. Frequently used testing instruments such as the Test of Adult Basic Education (TABE) or the Woodcock Johnson Psychoeducational Battery are easier to administer and may provide more information on attainment of basic skills. Some jurisdictions, however, are developing more performance-based assessment techniques, which test proficiencies in core subjects by completing tasks that have applications to real–life situations. There is some consensus that performance-based assessments give teachers a more complete picture of the students' needs and strengths to permit more appropriate placement (V.3).

In addition, there is movement toward revising evaluation instruments to include incremental objectives providing measurements of a student's progress toward larger goals. For instance, one state uses a combination of teacher-made tests, rating scales, student journals, project reports, and teacher evaluations to provide information for the evaluation of student proficiencies. The state finds this combination useful as it links academic skills and knowledge to real–life problems and situations (V.3). Future evaluation activities will provide additional information on this issue.

Objective 2: State policy and strategic assistance will improve institutionalized settings that better focus on meeting challenging standards.

Although recent research has not examined specific state practices as they relate to meeting challenging standards, several states have demonstrated movement toward using Title I, Part D, funds for innovative and creative uses in regular classrooms. Examples of this are found increasingly in institution-wide programs and may take such forms as increased access to computer technology and innovative and thematic instruction.

Although the Title I, Part D, statute requires each state agency or LEA to conduct an evaluation at least once every three years on the effects of the program, little relevant information is consolidated in this way at the state, local, or national level. Forty out of 51 states report "unknown" for over 75 percent of students regarding their grade level at time of release (V.3). Preliminary research reflects the need for monitoring and consequences for incomplete information.

Objective 3: After leaving an institution, N or D students will have the skills needed to make the transition to furthering their education or entering the labor force.

Past evaluations have shown that there has been little regular, dependable, or useful communication between Title I, Part D, Subpart 1, projects and the larger education system. Transition services are critically important to efforts for school reenrollment. State accreditation, which allows credits earned by a student in custody to be transferred to any of the public school districts in the same state facilitates students' reentry into the education system. Most students, however, do not return to school upon release (V.3).

Programs can use up to 10 percent of their N or D funds for transition services. Most services that facilitate transition are supported by the state. For instance, in one state, charter schools that are affiliated with the Department of Youth Rehabilitation and Treatment cater to students not successful in the public school system. Similar curricula can be found in these charter schools and the institutions from where these students came. Other transitional services are career awareness, skill development, recreation, counseling, and vocational training (V.3). External relationships that help students when they leave the facility increases their chances of later success.

IV. Planned Studies

The Department of Education is planning an evaluation of Part D programs that will be composed of various studies, collecting information drawn from a nationally representative sample of states, correctional facilities, and agencies that serve both juveniles and adults, and in greater depth for a smaller sample of facilities and institutions serving students in correctional facilities.

Questions on Title I, Part D, have also been included in a survey on adult education in correctional facilities. Case studies and other additional work will examine in greater depth the type and level of services students in correctional facilities receive, including information on the extent to which the program has made progress toward its objectives. A separate study will examine dropout prevention efforts in schools and local agencies at the secondary level.

V. Sources of Information

1. State Chapter 1 Participation and Achievement Information-1993-94: Summary Report (Rockville, MD: Westat, Inc., 1996).

2. Unlocking Learning: Chapter 1 in Correctional Facilities. Descriptive Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc. 1991).

3. Barry Krisberg and Kelly Dedel, Improving the Education of Incarcerated Youth: A Concept Paper, prepared for the U.S. Department of Education, Planning and Evaluation Service (Washington, DC: 1997).

4. O.D. Coffey and M.G. Gemignani, Effective Practices in Juvenile Correctional Education: A Study of the Literature and Research 1980-1992 (Washington, DC: Office of Juvenile Justice and Delinquency Prevention, 1994).

5. Program files.

VI. Contacts for Further Information

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Even Start Family Literacy Program
(CFDA No. 84.213)

I. Legislation

Title I, Part B of the Elementary and Secondary Education Act, (20 U.S.C. 6361-6370) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1989	$ 14,820,000
1990	24,201,000
1991	49,770,000
1992	70,000,000
1993	89,123,000
1994	91,373,000
1995	102,024,000
1996	101,997,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the Even Start Family Literacy Program is to demonstrate that comprehensive programs of two-generation literacy, parenting, and early childhood education can improve educational opportunities and life chances of disadvantaged families in local communities throughout the United States. The program supports family-centered educational programs for parents and children from birth through age seven, to help parents become full partners in the education of their children and to help children reach their full potential as learners.

Even Start projects must provide participating families with an integrated program of early childhood education, adult literacy or basic education, and parenting education. The program's design is based on the notion that these components build on each other and that families need to receive all three services, not just one or two, in order to effect lasting change and improve children's school success.

B. Strategies to Achieve the Goals

The Department awards formula grants to state education agencies that, in turn, make competitive discretionary grants to partnerships of local education agencies and community-based organizations for Even Start Family Literacy projects. In addition to the state grant programs, funds are set aside for federal discretionary grants for projects serving families of migratory workers and families in Indian tribes and tribal organizations, and in the outlying areas. The statute also requires that funds be set aside for a grant to a prison that houses women and children and authorizes a reservation of funds for statewide family literacy initiatives.

To be eligible for Even Start, a family must have a parent who is eligible to participate in an adult education program under the Adult Education Act or who is within the state's compulsory school attendance age range, and one or more children less than eight years of age. Projects must serve eligible families who are most in need of services, and provide high-quality, intensive instructional programs for adults and their children, including some instruction through home-based services and some joint activities for parent and child. Projects are required to form cooperative projects to use, rather than duplicate, existing community resources.

Table 1
Even Start Projects and Participants: 1989–1996

Fiscal Year of Funds	School Year of Operation	Number of Projects	Number of Families	Number of Children	Number of Adults	Total Participants
1989	1989-90	76	2,450	2,760	2,900	5,660
1990	1990-91	122	6,600	8,580	7,560	16,140
1991	1991-92	239	14,900	20,890	17,920	38,810
1992	1992-93	340	16,518	22,429	18,586	41,015
1993	1993-94	439	29,400	38,220	28,224	66,444
1994	1994-95	476	28,500	37,619	27,227	64,846
1995	1995-96	560	31,000	45,103	34,440	79,543
1996	1996-97	637	36,309	50,833	39,940	90,773

Note: Because no family data were collected in FY 1993, estimates of participant data for that year are based on established patterns. All participant and project data for FY 1996 are also estimated on the basis of prior patterns.
Sources: ED program data for funding and number of local grants; evaluation contractors (Abt Associates, Inc., Pelavin Associates, Inc., and Fu Associates, Ltd.) for participants.

C. Program Performance—Indicators of Impact and Effectiveness

The Even Start legislation requires an independent evaluation of the program. Although program performance indicators are now being developed, objectives of the program provide a framework for assessing available information on the progress of the Even Start Program.

Objective 1: Participating families improve their literacy level and self-sufficiency.

Even Start has helped many adults attain a GED. The first evaluation covering the first four years found that, across all projects, 8 percent of adults who entered Even Start without a GED or diploma achieved one. In a randomized experimental study of five projects, 22 percent of Even Start adults attained a GED, compared with 6 percent of adults in a control group. About 8 percent of all adult participants in 1994–95 attained their GED (V.2).

Also, Even Start children learned school readiness skills earlier than control group children, but control group children caught up once they entered preschool or kindergarten (V.2). In 1994–95, although there was no control group, Even Start children gained statistically significant amounts on tests of school readiness and language skills (V.3).

A consistent finding from year to year is that intensive Even Start interventions resulted in improved adult and child performance on literacy tests. Adults and children who participated actively in Even Start's core services gained more on literacy tests than adults and children who did not (V.3).

A finding of the first national evaluation is that the extent to which parents took part in parenting education is positively related to children's vocabulary. Children of adults who participated actively in parenting education classes had higher scores on a vocabulary test than children of adults who did not (V.2).

The first national evaluation found that Even Start participants showed only moderate gains in literacy -- no different from those of adults in a control group. (V.2) However, in 1994–95, participating adults achieved significant gains on all four measures of adult literacy (V.3).

Although the first national evaluation did not show significant gains for adults on any important parenting education measures during the first four years, in 1994–95, parents achieved significant gains on the HOME screening questionnaire used to measure the home environment (V.3).

In summary, the Even Start model has positive short-term effects on families. Furthermore, the greater the intensity of services offered and used by families, the more the families benefit.

Objective 2: Even Start projects provide high-quality instructional and support services to families most in need.

The first national evaluation of Even Start showed that, during its first four years, Even Start served its intended population. Of all Even Start adults served, 79 percent had not completed high school. The typical adult entered Even Start with the literacy skills of a high school student, while the typical 3- or 4-year-old child who entered Even Start scored at the ninth percentile on a nationally normed vocabulary test (V.2). Similarly, in the 1994–95 program year, 84 percent of adults in Even Start had not completed high school (V.3).

The first national evaluation showed that 66 percent of Even Start families had total annual incomes under $10,000 (V.2). Similarly in 1994–95, 57 percent of families had total annual incomes of less than $9,000 (V.3).

During its first four years, 46 percent of Even Start families reported job wages as their primary source of financial support, while 49 percent reported government assistance as their primary source of support (V.2). In 1994–95, these figures remain the same. However, about three-quarters of Even Start parents are not employed at time of intake: 76 percent in 1992–93 and 73 percent in 1994–95 (V.3).

The ethnic composition of Even Start families has changed strikingly since 1989–90 when Hispanic parents represented 22 percent of all Even Start parents. In 1994–95, Hispanic parents constituted the largest ethnic group (36 percent). The percentage of white parents decreased from 40 percent in 1992–93 to 34 percent in 1994–95. The percentage of African Americans also decreased, from 36 percent in 1989–90 to 23 percent in 1994–95. Asians and American Indians each account for less than 10 percent of the parent population (V.3).

Not surprisingly, the language needs of Even Start families are increasing as the number of families with limited English proficiency increases. The percentage of primarily Spanish-speaking parents in the program rose from 15 percent in 1989–90 to 29 percent in 1994–95. In 1994–95, 37 percent of the parents did not speak English in the home.

Since 1989–90, about half of all Even Start families have been two-parent families, between 37 and 39 percent have been single-parent families, and 12 to 13 percent have been extended families. Furthermore, in 1994–95, 57 percent of Even Start families had three or more children age 15 or younger (V.3).

On average, 55 percent of 1994–95 Even Start families across all projects had three or more types of extreme needs including: an annual income of less than $9,000, a single-parent family, a parent who has completed only the eighth grade or lower, English as a second language (V.3) or at least three children under 16.

The first national evaluation established that a high level of exposure to program services is important. Adults and children who participated actively in Even Start's core services gained significantly more on tests than adults and children who participated less actively (V.2).

In 1994–95, Even Start projects offered educational services for an average of 10 months out of the year. Projects offered, on average, 31 to 36 hours per month of adult education, 10 hours per month of parenting education, and 35 to 39 hours of early childhood education each month. These amounts are slightly higher than the amounts offered in 1993–94. Also, projects offered, on average, 10 hours per month of education for parents and children together in 1994–95 (V.3).

During the first four years, the average Even Start family participated in the program for 7 months and received 13.5 hours of adult education, 6.5 hours of parenting education, and 26 hours of early childhood education each month. (V.2) In 1994–95, the hours of annual participation (for participating parents) in adult education averaged 100. The hours of annual participation (for participating parents) in parenting education averaged 32 hours. On average, families received 8 or 9 home visits in the 1994–95 program year (V.3).

Objective 3: Even Start will be cost-effective in its operations.

The first national evaluation showed that cost-effectiveness is likely to be achieved only after a project is fully implemented. Projects routinely required at least a year to establish a fully operational program, and several years to develop good participation and recruitment rates. As projects gained more experience over the years of their grant, the costs of service per family went down (V.2).

The average federal cost per Even Start family declined over the first four years of the program, from $5,894 in 1989–90 to $3,669 in 1990–91, and again to $2,503 in 1991–92. These figures do not differentiate among project cohorts, however. The decline in cost reflects increases in the average number of families served each year as projects have matured and become more efficient. Even Start projects also are required to assume an increasing share of project costs over a four-year period, beginning with 10 percent in the first year and increasing to 40 percent in the fourth year. Some projects obtain substantial resources (e.g., matching funds, in-kind contributions, and the value of referred services), in addition to their federal Even Start funds, in order to expand services to participating families (V.2). For all projects in 1994–95 (including a substantial number of newer projects), the per-family cost is slightly higher than $2,700 per year (V.3).

In 1991–92, the average of $2,503 in federal funding per family was augmented by an average of $1,352 in other resources, to arrive at total resources of $3,855 per Even Start family. Thus, federal Even Start funds accounted for 65 percent of the total resources used per family, and other funds accounted for 35 percent in 1991–92 (V.2). Similarly in 1994–95, the federal contribution of $2,700 was augmented by an average of $1,334 in other resources (V.3).

Objective 4: Even Start builds the capacity of states and local communities to develop and operate family literacy programs.

Even Start projects usually receive grant funding in four-year cycles. Projects are eligible for only two such cycles, or eight total years of Even Start funding. Even Start projects also are required to assume an increasing share of project costs over a four-year period to help projects prepare for financial independence. The national evaluation provides information on projects' plans to continue after their current multiyear grant expires. Ninety percent of projects in 1993–94 and 1994–95 planned to continue. Of these projects, most planned to do so at least in part by reapplying for another Even Start demonstration grant. However, in 1993–94, only 25 percent of the projects planned to depend solely upon another Even Start grant to continue services (V.3).

IV. Planned Studies

1. Second National Evaluation of Even Start. Currently in its second four-year cycle, the national evaluation of Even Start uses the Even Start Information System (ESIS) to measure the results of the program. The ESIS consists of four universal sets of data collection instruments (plus one set for the sample study) designed to provide data that will allow the Department to address the implementation and outcomes of Even Start. ESIS is designed to collect a common set of data from each Even Start project and from all Even Start participants. The universe study reports out data on all projects and participants. A sample study collects and reports program effectiveness data based on 60 randomly selected projects and up to 50 new participant families in each project. Case studies of migrant and tribal projects capture the details of program implementation and operations of those programs. The third annual interim report is due in 1997. The final report is due in 1998.

2. Special Analyses of Migrant Education Even Start Projects (MEES) and Projects for Indian Tribes and Tribal Organizations. These special studies are produced from the ESIS national evaluation data. These studies provide a descriptive analysis of the MEES projects and projects that serve Indian tribes and tribal organizations. These reports are due in 1997.

3. Case Studies of Even Start Infants and Toddlers Programs. This study will examine Even Start Family Literacy projects to identify those that implement promising strategies for parents who participate in programs with their infants or toddlers. The study will focus on how projects encourage children's cognitive and motor development, encourage age-appropriate behavior and responses, and prepare parents for certain milestones in their children's lives. It will also examine healthy parent-child interactions in a variety of circumstances and situations. The report is due in 1997.

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4. Observational Study of Even Start Family Literacy Projects. This study, now being designed, will examine several successful Even Start programs that combine multiple indicators of program quality and successful outcomes for families and children. The study will provide well-integrated quantitative and qualitative data on how Even Start programs generate positive results, in order to develop information that will help practitioners examine their own projects for improvement. The study will be used to update the program's quality indicators by benchmarking against successful programs.

5. Early Childhood Transitions in Even Start and Title I. This study will examine the extent to which Even Start provides a bridge between early childhood education and the early primary grades, and the extent to which the program makes a difference in the success of young learners. It builds on earlier analyses and case studies that suggest that Even Start can facilitate children's progress through formal and informal collaboration between Even Start and Title I in schoolwide programs and through encouragement of parental involvement and the school's acceptance of that involvement. It will also assess the extent to which there is coherence between the curriculum used in the early childhood education component of Even Start and the content of instruction in the primary grades.

V. Sources of Information

1. Program files.

2. National Evaluation of the Even Start Family Literacy Program, Final Report (Cambridge, MA: Abt Associates, Inc., January 1995).

3. National Evaluation of the Even Start Family Literacy Program, 1995 Interim Report (Arlington, VA: Fu Associates, Ltd., January 1997). No ERIC access number.

VI. Contacts for Further Information

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Title III of the GOALS 2000: Educate America Act
(CFDA No. 84.276)

I. Legislation

Title III of the Goals 2000: Educate America Act (State and Local Education Systemic Improvement) (U.S.C. 5881 et seq.). This program is authorized through FY 1998.

II. Funding History

Fiscal Year	Appropriation
1994	$92,400,000
1995	361,870,000
1996	340,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of Title III of the Goals 2000: Educate America Act is to help states devise their own strategies for comprehensive reform of elementary and secondary education. The strategies center on the creation and implementation of high standards in the states' core academic subjects to define what all students should know and be able to do at various points along the K-12 school continuium.

B. Strategies to Achieve the Goals

Services Supported

The Goals 2000 initiative provides formula grants to state and local education agencies to support comprehensive systemic reform efforts. In the 1996–97 school year, the grants supported school reform efforts in 49 states, the District of Columbia, Puerto Rico, the outlying areas, and the Bureau of Indian Affairs.

Each participating state is developing comprehensive strategies for helping all students reach challenging academic standards. States may accomplish this goal by upgrading assessments and curriculum to reflect challenging standards; improving the quality of teaching; expanding the use of technology; strengthening accountability for teaching and learning; promoting more flexibility and choice within the public school system; and building strong partnerships among schools and families, employers, and others in the community. Each state is also developing its standards and reforms with broad-based, grass-roots involvement.

Strategic Initiatives

The legislation gives states and local school districts unprecedented flexibility to use Goals 2000 funds for a wide range of activities that fit within their own approaches to helping all students reach challenging academic standards. In addition, the Goals 2000 legislation expands flexibility in other federal education programs by giving states and local school districts the authority to waive many federal rules and regulations if they interfere with state or local education reforms.

C. Program Performance—Indicators of Impact and Effectiveness

The Department has developed a set of performance indicators for five objectives of the Goals 2000 initiative as shown below.

Goals 2000 State and Local Education Systemic Improvement			
Goal: To support comprehensive state and local education reform tied to high standards for all students			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
Student outcomes (joint results of all federal programs for elementary and secondary education)			
1. Improve student achievement in core subjects.	**Student achievement:** 1.1 Between 1990 and 1998, the proportion of students who meet or exceed basic and proficient levels in reading and math on such measures as the National Assessment of Educational Progress will increase by at least ten percentage points. 1.2 For state and local education agencies with assessment systems in place, the percentage of students meeting or exceeding state and/or local performance standards will increase between 1996 and 1998.	1.1 NAEP reading, 1998; NAEP math, 1998 1.2 Longitudinal Evaluation of School Change and Performance, 1996; Federal State Student Outcome Pilot, 1996; data from State and District Assessments, 1997	• Provide assistance at the state and school level for improved school performance and increased family and community engagement in learning through supporting ED service teams, technical assistance centers and state school support teams • Support interstate working groups to discuss how to improve and measure student achievement and to identify the types of Goal 2000 activities that support gains in student achievement. • Support the Council of Chief State School Officers to coordinate working groups to identify interim and outcome performance indicators and benchmarks for measuring student achievement.
SEA and LEA implementation			

Goals 2000 State and Local Education Systemic Improvement			
Goal: To support comprehensive state and local education reform tied to high standards for all students			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
2. Stimulate and accelerate state and local reform efforts.	2.1 **Participation in reform efforts.** By 1997, as many as 4,000 school districts will actively participate in standards-based reform stressing challenging standards for all children. By 1999, as many as 8,000 school districts will actively participate in locally-developed reform.	2.1 Goals 2000 annual performance reports, 1997	● Help states, districts and local schools to develop and implement challenging standards for academic content and performance in ways that promote excellence and equity for all students by: — providing federal financial support (especially, Goals 2000 grants, Title I, Eisenhower Professional Development, Bilingual Education, Special Education, and Technology grants). — encouraging states to share their model standards.
	2.2 **Reading and math standards**. By 1998, 100% of the states will have challenging content and performance standards in place for reading and math.	2.2 Review of Goals 2000 state plans and annual performance reports, 1997; Education State Survey of Goals 2000, 1997	
	2.3 **Standards for other core subjects.** By 1998, increasing percentages of states will have challenging standards in place for other core subjects.	2.3 Review of Goals 2000 state plans andannual performance reports, 1997; Education State Survey of Goals 2000, 1997	● Expand public understanding of the need for challenging academic standards by: disseminating information on standards-based reform through states, national associations, and other ED partners.

Goals 2000 State and Local Education Systemic Improvement

Goal: To support comprehensive state and local education reform tied to high standards for all students

Objectives	Indicators	Source and Next Update	Strategies
	2.4 Aligned assessments. By 1999, 20 states will have assessments aligned to curriculum and content standards for two core subjects; by 2000, all states will. **2.5 Goals 2000 as a catalyst.** State and local school administrators will identify the Goals 2000 initiative as a factor contributing to effective education reform.	2.4 CPRE, 1998 2.5 ED State Implementation Survey, 1997; District Survey, 1997	• Assist states and school district in developing and implementing valid, reliable, and inclusive assessments that are aligned to challenging standards and are designed to improve student learning: — through financial support under Goals 2000 and Title I. — by encouraging the sharing of effective methodologies.
Parental and community involvement			
3. **Promote parental and community involvement in student learning.**	**Parental understanding of standards** **3.1** The percentage of parents who understand what their children need to know and be able to do will increase.	3.1 Evaluation of School Parent Compacts, 1997; Barriers to Parent Involvement Study, 1996; CCSSO Report, 1996	• Increase parents' knowledge of and confidence in child-rearing activities, such as teaching and nurturing their young children through financial and technical assistance to Parental Information Resource Centers.
	3.2 The percentage of parents who know how to help their children succeed in school will increase.	3.2 Evaluation of School Parent Compacts, 1997; Barriers to Parent Involvement Study, 1996; CCSSO Report, 1996	• Strengthen partnerships between parents and professionals in meeting the educational needs of children aged birth through five years and the working relationship between home and school through financial and technical assistance to Parental Information Resource Centers.

Goals 2000 State and Local Education Systemic Improvement

Goal: To support comprehensive state and local education reform tied to high standards for all students

Objectives	Indicators	Source and Next Update	Strategies
	3.3 **Community involvement**. The percentage of the public that understands standards-based reform will increase.	3.3 Phi Delta Kappa/ Gallup Poll, 1997; other public opinion polls, 1997	• Disseminate information to the public regarding parental and community involvement through ED service teams, conferences, and ED publications. • Build on partnerships with the National Governors' Association, Business Round Table, and other national associations, to expand outreach to parents around challenging standards. Use TV, print, and radio public service announcements.
	3.4 **Local opinion of standards.** Parents, community members, and business leaders support the need for challenging standards and indicate that the content and performance standards in their community are relevant to what children should know and be able to do.	3.4 Phi Delta Kappa/ Gallup Poll, 1997; other public opinion polls, 1997	
Teachers			
4. **Promote excellent teaching that will enable all students to reach challenging state and/or local standards.**	4.1 **Teachers' knowledge of standards.** By 1997-98, surveys report that teachers in states with standards and/or curriculum frameworks understand state and/or local content and performance standards as they apply to the grades and subjects they teach.	4.1 Baseline and Follow-up Survey of Teachers, 1996; Follow-up Longitudinal Evaluation of School Change and Performance, 1997	• Strengthen preservice and professional development efforts of states, schools, colleges, partnerships, and teacher networks by providing: — financial support; and — technical assistance to states administering Goals 2000 subgrants for teacher preservice and professional development

Goals 2000 State and Local Education Systemic Improvement

Goal: To support comprehensive state and local education reform tied to high standards for all students

Objectives	Indicators	Source and Next Update	Strategies
	4.2 **Schools' alignment of key processes.** By 1997-98, surveys of principals and teachers in states with standards will indicate that schools have aligned curriculum, instruction, professional development and assessment to meet challenging state or local standards.	4.2 Longitudinal Evaluation of School Change and Performance, 1997; Baseline and Follow-up Survey of Teachers, 1996	• Support efforts to prepare future teachers to meet high certification and licensing standards by promoting partnerships between school districts and institutions of higher education to prepare new teachers.
	4.3 **Professional development.** The number of teachers, in states with standards and/or curriculum frameworks, who indicate that they are engaged in professional development that is enabling them to teach to challenging standards will increase annually.	4.3 Baseline and Follow-up Survey of School Principals, 1996; Baseline and Follow-up Survey of Teachers, 1996	• Encourage states to align certification and licensing requirements for teachers with challenging content standards and best practice by sharing with the field the most promising strategies to upgrade teaching quality through publications, conferences, and monitoring visits. • Provide technical assistance to states regarding the integration of federal professional development programs, including Eisenhower Professional Development and the National Science Foundation programs.
Federal administration			
5. **Effective federal program management will support state and local reform.**	5.1 **Satisfaction with Goals 2000 administration.** State and/or local education agencies participating in Goals 2000 will be satisfied with its administration on indicators such as application response time, peer review and site visits.	5.1 ED State Implementation Survey, 1997	• Continue professional development of employees to develop expertise in principles and practices of education reform.

Goals 2000 State and Local Education Systemic Improvement			
Goal: To support comprehensive state and local education reform tied to high standards for all students			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
	5.2 **Coordinating Across the Department.** State and local education agencies will report that the services provided by regional service teams are useful and of high quality.	5.2 District Follow-up Study, 1997	• Across OESE, establish OESE-wide standards for timely completion of site visit reports and for working with states on satisfying conditions set for state plan revisions. • Work closely with the ED integrated review teams (IRTs) to ensure that program monitoring reflects reform goals. • Develop a monitoring protocol for the IRTs that provides clear and uniform guidance on the program areas and topics to be covered and ways to be assessed.

Objective 1: Improve student achievement in core subjects.

Information is not yet available, but some evidence predating Goals 2000 shows improvement of student achievement in core subjects. For example, after six years of sustained effort and commitment to high standards in both Maryland and Kentucky, students there are showing achievement gains (V.2).

The state of Maryland has launched a comprehensive reform effort called Schools for Success. The cornerstone of Maryland's reform effort is its accountability system, which establishes high standards for student achievement and related statewide assessments of student progress toward meeting the high standards. In 1995, 52 percent more schools met or approached the standards for satisfactory performance at the 3rd–grade level than did so in 1994, according to state assessments. The number of schools similarly improving has increased by 13 percent at the 5th–grade level and by 32 percent at the 8th–grade level. Students have also made gains: 40 percent of all students statewide met the state standards--a 25 percent gain over 1993 (V.2).

The state of Kentucky has adopted education legislation that focuses on high academic standards for all students. Each strategy is tied to achieving high standards, so that all activities complement and reinforce one another. For example, a curriculum framework provides schools with the tools to develop a curriculum based on the state's high standards, as well as assessments to measure student progress. Kentucky has targeted its Goals 2000 funds toward accelerating local reforms, with a particular emphasis on strengthening parental involvement in schools. Comprehensive reform is beginning to pay off in Kentucky. The state's 4th, 8th, and 12th graders made substantial improvement on the 1993–94 state assessment and continued improvement on the 1994–95 assessment, with the most dramatic gains experienced by 4th-graders. In all grades, the percentage of students performing at the proficient/distinguished level in mathematics, reading, science, and social studies increased over time (V.2).

Both Maryland's and Kentucky's efforts exemplify the extent of activity and long-term commitment to standards that are required to raise student achievement (V.2).

Objective 2: Stimulate and accelerate state and local reform efforts.

According to preliminary findings from a study that surveyed local school districts' efforts to support local implementation of ESEA programs such as Title I and Goals 2000, 90 percent of district respondents said they understood standards-based reform. However, 25 percent of respondents said such reform would take little or no change to implement, suggesting that some districts underestimate the work entailed. Respondents involved in early reform efforts and districts with Goals 2000 subgrants indicated a better understanding of standards-based reform, as well as acknowledging that such reforms require a great deal of change. In addition, this group of districts reported that conducting assessments and linking accountability to student performance require the greatest amount of change (V.3).

Currently, districts in 49 states, the District of Columbia, Puerto Rico, Bureau of Indian Affairs, and all outlying areas received funds in the first year of Goals 2000, primarily for designing and updating their education improvement strategies, such as developing standards and assessments. A recent survey of teachers found that 64 percent reported using student assessments such as portfolios to measure performance against high standards in English/language arts; 38 percent in history/social studies, 51 percent in math, and 42 percent in science (V.4). However, the extent to which these teachers are assessing performance to challenging standards is unknown.

Objective 3: Promote parental and community involvement in student learning.

Goals 2000 encourages schools to reach out to the broader community to get parents, families, businesses, and community members involved in school improvement activities. Some states have been working with religious leaders, business people, civic leaders, families, and community members who traditionally had not been involved in education to help improve student learning (V.2). Preliminary findings from a recent survey found that over 30 percent of school districts need further information and assistance in building partnerships with parents and the community (V.3).

Objective 4: Promote excellent teaching that will enable all students to reach challenging state and/or local standards.

According to a recent survey of public school teachers, 42 percent report they have a very good understanding of the need to establish new higher standards for student achievement; over 50 percent say they understand this somewhat well and 5 percent do not understand this well at all. More than 70 percent of all teachers say they are helping all students achieve to high standards in core subjects (V.4). Approximately 69 percent of teachers say they use curricula aligned with high standards in English/language arts, 59 percent in history/social studies, 67 percent in math, and 66 percent in science. In addition, 75 percent of teachers say they use instructional strategies (e.g., hands-on activities, cooperative learning) aligned with high standards in English, 73 percent in history/social studies, 82 percent in math, and 81 percent in science (V.4).

Preliminary findings from a recent survey of school principals and teachers reveal that 47 percent of schools are, to a moderate extent, implementing professional development to enable staff to teach the content that students are expected to learn and 37 percent of schools are, to a great extent, implementing professional development; however, 41 percent of schools need information regarding professional development (V.5). Although 28 percent of teachers found that the professional development sponsored or supported by their school was useful for helping students achieve to high standards, 45 percent said it was moderately useful, and 22 percent said it was useful to only a small extent (V.4).

Objective 5: Effective federal program management will support State and local reform.

The Department has established a Management Council, composed of leaders and senior advisers throughout the Department to foster interaction and coordination to better serve states, localities, and schools. The collaboration among the council is designed to help the Department better coordinate and integrate the provision of technical assistance, including services provided through its research laboratories and comprehensive technical assistance centers (V.2).

IV. Planned Studies

Crosscutting Baseline Surveys of School Principals and Teachers. These two surveys provide baseline data on principals' and teachers' perceptions of systemic education reform and the extent to which reform activities are being implemented in their schools. Both principals' and teachers' surveys focus on setting high standards for all students and aligning curricula, instruction, textbooks, innovative technologies, and student assessment with these high standards. They also address parent involvement, information needs, and effective sources of information for principals and teachers. The teachers' survey also collects initial data about professional development. The principals' survey specifically addresses changes in Title I since reauthorization. The reports will be available in late 1997.

Crosscutting Study of Local Implementation of Federal Elementary/Secondary Programs. This study is analyzing districts' efforts to support the implementation of ESEA programs—particularly Title I and Goals 2000 within the context of State and local reforms. Particular attention will be paid to program governance, in addition to supports for effective instruction, and family/community partnerships. A final report will be completed in winter/spring 1998.

Crosscutting Study of State Implementation of Federal Elementary/Secondary Programs. This study will provide baseline data regarding the planning process and early implementation of Goals 2000 and ESEA programs, particularly Title I. The evaluation will focus on how the legislative framework and federal resources under Goals 2000 and ESEA are incorporated into the context of state school improvement efforts. Key issues will address state activities including the process of developing State plans, setting standards, and aligning assessments with higher standards in the basics and core subjects. State-level support for school improvement will also be a focus, including the various ways States are providing professional development and technical assistance to districts in planning, performance accountability (including incentives and sanctions), and other supports (such as waivers) to encourage local flexibility and innovation. The report will be completed in late 1997.

V. Sources of Information

1. Program files.

2. Goals 2000: Increasing Student Achievement Through State and Local Initiatives: Report to Congress (Washington, DC: U.S. Department of Education, April 30, 1996).

3. Crosscutting Study of Federal Implementation—Reports on Reform from the Field: District and State Survey Results (Washington, DC: Urban Institute, publication expected in 1997).

4. Crosscutting Baseline Surveys of School Principals and Teachers (Rockville, MD: Westat, Inc., publication expected in 1997).

5. Longitudinal Survey of School Implementation of Reform and Title I (Contract to be awarded, publication expected in 2000).

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VI. Contacts for Further Information

Program Operations:	Tom Fagan, (202) 401-0039
Program Studies:	Martha Chavez, (202) 401-1958

Title IV of the GOALS 2000: Educate America Act
(CFDA No. 84.310A)

I. Legislation

Title IV of the Goals 2000: Educate America Act (Parental Information and Resource Centers) (20 U.S.C. 5911 et seq.). The program is authorized through FY 1998.

II. Funding History

Fiscal Year	Appropriation
1995	$10,000,000
1996	10,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of Title IV of the Goals 2000: Educate America Act are (1) to increase parents' knowledge of and confidence in childrearing activities, such as teaching and nurturing their young children; (2) to strengthen partnerships between parents and professionals in meeting the educational needs of children from birth through age five and the working relationship between home and school; and (3) to enhance the developmental progress of children assisted under the program.

B. Strategies to Achieve the Goals

Services Supported

Grants are awarded each fiscal year to nonprofit organizations, and nonprofit organizations in consortia with local education agencies, to establish parental information and resource centers that provide training, information, and support to parents of children from birth through age five, parents of children enrolled in elementary and secondary schools, and individuals who work with these parents.

Each center serves the entire state or the region within the state where it is located. While information and assistance may be provided to any parent, the centers are required to focus on serving low-income, minority, and limited-English-proficient parents. All of the centers provide information and training to parents of preschool-age children through their Home Instruction Program for Preschool Youngsters (HIPPY) or the Parents As Teachers (PAT) program. Both HIPPY and PAT are widely replicated, home-based models effective in helping parents prepare their children for school success.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are under development.

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IV. Planned Studies

The Department of Education is planning to conduct an analysis of the Parental Information and Resource Centers on the basis of the project's performance reports.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Tom Fagan, (202) 401-0039
Program Studies:	Martha Chavez, (202) 401-1958

Title VI--Innovative Education Program Strategies
(CFDA No. 84.298)

I. Legislation

Title VI of the Elementary and Secondary Education Act, as amended by the Improving America's Schools Act. (P.L. 103-382) (20 U.S.C. 7301) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1995	$347,250,000
1996	275,000,000

III. Analysis of Program Performance

A. Goals and Objectives

Title VI of the Elementary and Secondary Education Act, as amended by the Improving America's Schools Act, is designed to (1) support local educational reform efforts that are consistent with, and support statewide reform efforts, under Goals 2000: Educate America Act; (2) support state and local efforts to accomplish the National Education Goals; (3) provide funding to enable state and local education agencies (LEAs) to implement promising educational reform programs; (4) provide a continuing source of innovation, and educational improvement, including support for library services and instructional materials; and (5) meet the special needs of at-risk and high–cost students.

B. Strategies to Achieve the Goals

Title VI funds are allocated to states based on the ratio of the school-age population (children ages 5 through 17) in each state to the school-age population in all states. Once a state receives its Title VI funds, the state education agency (SEA) is required to distribute not less than 85 percent of those funds to its LEAs, according to the relative enrollment in public and participating private schools within those LEAs, adjusted in accordance with criteria approved by the Secretary of Education to provide higher per-pupil allocations to those LEAs with the greatest numbers or percentages of high-cost children.

Most Title VI programs and activities tend to serve all types of students, focusing neither on a particular grade level nor on particular student groups. However, both an SEA or an LEA might design a program using Title VI funds to meet the needs of students with special learning requirements.

Title VI funds may be used for implementing programs in eight innovative assistance areas:

1. Technology related to the implementation of school-based reform--including professional development to assist teachers and other school professionals regarding how to use such equipment;

2. Programs for the acquisition and use of instructional materials;
3. Promising education reform, including effective schools and magnet schools;
4. Programs to improve the higher order thinking skills of disadvantaged elementary and secondary students and to prevent students from dropping out of school;
5. Programs to combat illiteracy in the student and adult population, including parent illiteracy;
6. Programs to provide for the educational needs of gifted and talented children;
7. School reform activities consistent with Goals 2000; and
8. School improvement programs.

IV. Planned Studies

In 1997 the Department will award a contract to begin compiling the results of the biennial report due to Congress in December 1997. This report will detail the expenditure of program funds and the number of students served by Title VI funded programs and projects.

In 1997 the Department will also contract for a compilation of state self-evaluations of the effectiveness of programs assisted under Title IV. The report will attempt to assess the impact such funding has on students and schools. This report is due to Congress in 1998.

V. Sources of Information

1. Title VI of the Elementary and Secondary Education Act, as amended by the Improving America's Schools Act (P.L. 103-382).
2. Nonregulatory Guidance for Title VI of the ESEA.

VI. Contacts for Further Information

Program Operations: Zula Toney, (202) 260-2551

Program Studies: Barbara J. Coates, (202) 401-1958

General Assistance to the Virgin Islands
(No CFDA number)

I. Legislation

Section 10995, Title X, Part M, of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 8371) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1988	$4,787,000
1989	4,730,000
1990	4,391,000
1991	4,366,000
1992	4,500,000
1993	2,455,000
1994	1,277,000
1995	0
1996	0

III. Program Goals and Objectives

The purpose of the program was to provide general assistance to improve public education in the Virgin Islands. Program appropriations ended in FY 1994 and this is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Zulla Toney, (202) 260-2551
Program Studies:	Barbara Coates, (202) 401-1958

Civil Rights Training and Advisory Services
(CFDA No. 84.004D)

I. Legislation

The Civil Rights Act (CRA) of 1964, Title IV, Public Law 88-352, (20 U.S.C. 2000c-2000c-2, 2000c-5) (no expiration date).

II. Funding History

Fiscal Year	Appropriation
1988	$23,456,000
1989	23,443,000
1990	21,451,000
1991	21,329,000
1992	22,000,000
1993	21,606,000
1994	21,606,000
1995	21,412,000
1996	7,334,000

III. Analysis of Program Performance

A. Goals and Objectives

The Training and Advisory Services Program provides financial assistance to operate 10 regional Desegregation Assistance Centers (DACs), which help public schools address desegregation problems and equity issues related to race, sex, and national origin. Technical assistance, training, and advisory services are provided upon request.

To achieve the goal of equal access for all students, the DACs work as a team with federally supported providers of technical assistance to deliver services to states, school districts, and schools. DACs provide comprehensive desegregation assistance in the 10 Department of Education regions through activities such as the following:

- Facilitating services designed to ensure equal educational opportunity for all children;
- Promoting policies and practices that lead to equitable educational opportunities for all students regardless of race, sex, or national origin;
- Helping school districts promote understanding, sensitivity, and awareness of cultural, ethnic, language, and gender differences among students, school personnel, and parents, in order to avoid disharmony and violence; and
- Helping districts identify resources to aid in coping with desegregation-related concerns.

B. Strategies to Achieve the Goals

Services Supported

The Department provides grants to DACs to provide technical assistance and training and advisory services to carry out activities such as instructing school trainers on how to prevent sexual harassment and combat biases, providing technical assistance to school personnel to increase participation by minorities and females in mathematics and science courses, and consulting with local educational agencies to ensure that systemic reform and educational restructuring plans consider the needs of all students.

Strategic Initiatives

The DACs coordinate and collaborate with the Comprehensive Regional Assistance Centers and other federally supported providers to deliver high-quality services to states, school districts, and schools in order to help ensure that all children are provided equal access to educational opportunities.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Janice Williams-Madison, (202) 260-2547
Program Studies:	Barbara J. Coates, (202) 401-1958

Follow Through--Grants to Local Education Agencies and Other Public and Private Nonprofit Agencies
(CFDA No. 84.014)

I. Legislation

The Follow Through Act, Title VI, P.L. 97-35, as amended (42 U.S.C. 9861-77) (expired 1994).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1968	$15,000,000	1991	$7,265,000
1970	70,300,000	1992	8,632,200
1975	55,500,000	1993	8,478,000
1980	44,250,000	1994	8,478,000
1985	10,000,000	1995	0
1990	7,171,000	1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program was to sustain and augment, in kindergarten and the primary grades, the gains that children from low-income families made in Head Start and other preschool programs of similar quality by (1) providing comprehensive services that will help these children develop to their full potential; (2) achieving active participation of parents; (3) producing knowledge about innovative educational approaches specifically designed to assist these children in their continued growth and development; and (4) demonstrating and disseminating effective Follow Through practices. Program appropriations ended in 1994. This is a close-out report on the program.

B. Strategies to Achieve the Goals

Local Follow Through projects were required to serve primarily low-income children enrolled in kindergarten and primary grades who had participated in a full-year Head Start or similar preschool program, including other federally assisted preschool programs of a compensatory nature.

At least 60 percent of the children enrolled in each project were from low-income families and at least 60 percent of the children had to have had preschool education. Schoolwide project schools enrolled at least 75 percent of their children from low-income families. When Follow Through operated in a Chapter 1 schoolwide project, no restriction was imposed regarding the percentage of participants from low-income families or with previous preschool experience.

Typically, projects were designed to

- Implement an innovative educational approach specifically designed to improve the school performance of low-income children in kindergarten and the primary grades;

- Provide supplementary or specialized instruction in the regular classroom, and education-related services to all students in the classroom;

- Orient and train Follow Through staff, parents, and other appropriate personnel;

- Provide for the active participation of Follow Through parents in the development, conduct, and overall direction of the local project;

- Provide health, social, nutritional, and other support services to aid the continued development of Follow Through children; and

- Demonstrate and disseminate information about effective Follow Through practices in order to encourage adoption of those practices by other public and private schools.

In FY 1992 the Department of Education funded 46 projects -- 12 sponsors and 34 local education agencies (LEAs). The program gave priority to LEA projects operating in Chapter 1 schools designated as schoolwide projects; as a result, 24 of the LEA grants were awarded to districts serving children in schoolwide projects.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Margaret C. Wang and Herbert J. Walberg. The National Follow Through Program: Lessons from Two Decades of Research Practice in School Improvement, October 1988, ED 336191.

3. Margaret C. Wang and Eugene A. Ramp. The National Follow Through Program: Design, Implementation, and Effects (Philadelphia, PA: November 1987).

VI. Contacts for Further Information

Program Operations:	Robert Alexander, (202) 401-1692
Program Studies:	Tracy Rimdzius, (202) 401-1958

Impact Aid
(CFDA No. 84.041)

I. Legislation

Title VIII of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7701-7714) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1951	$ 28,700,000	1991	$754,361,000
1970	507,900,000	1992	763,708,000
1975	636,016,000	1993	738,250,000
1980	792,000,000	1994	786,304,000
1985	675,000,000	1995	728,000,000
1990	717,354,000	1996	693,000,000

III. Analysis of Program Performance

A. Goals and Objectives

Impact Aid provides financial assistance to school districts affected by federal activities. The presence of certain children living on federal property across the country places a burden on the school districts that educate these children: because the property on which the children live is exempt from local property taxes, school districts are denied access to a primary source of revenue traditionally used by communities to finance education. Impact Aid helps to replace the lost revenue that would otherwise be available to pay for the education of these children.

Impact Aid funds flow primarily through Basic Support Payments on behalf of federally connected children; additional payments are made for federally connected children with disabilities, for heavily impacted districts, for federal property removed from local tax rolls after 1938, and for construction and renovation of school facilities.

B. Strategies to Achieve the Goals

Services Supported

Basic Support Payments. Section 8003 authorizes aid to about 1,800 school districts with federally connected children, that is, children who live on federal property with a parent who is employed on federal property; children who live on federal property with a parent who is on active military duty or is a foreign military officer; children who live on certain Indian lands; children who do not live on federal property but who have a parent who is on active military duty or is a foreign military officer; children who live in low-rent housing; children who live on federal property but do not fit any of the above categories; and children who do not live on federal property but have a parent who is employed on federal property. To be eligible for aid, a district must have federally connected children amounting to at least 3 percent or 400 children in average daily attendance, whichever is less. In addition, to receive aid for children in the last two categories, a district must have at least 10 percent or 1,000 of these children in average daily attendance. In FY 1996, funding for this section was $582 million, and Basic Support Payments accounted for 84 percent of all Impact Aid payments to school districts.

Payments for Children with Disabilities. Section 8003(d) provides supplemental assistance to school districts that have certain federally connected children who have disabilities, so that the local community does not have to shoulder the entire burden of educating these special-needs children. School districts that receive these payments must use the funds for programs to provide the children counted with a free appropriate education in accordance with the Individuals with Disabilities Education Act; any payments in excess of program costs must be returned. In FY 1996, funding for this section was $40 million, and funds were provided on behalf of 52,000 federally connected children with disabilities.

Payments for Heavily Impacted Districts. Section 8003(f) provides additional aid to districts that enroll large numbers or proportions of federally connected children and that cannot provide the same level of education provided by comparable school districts in their state. To be eligible for these payments, a district must have (1) at least 50 percent federally connected children (40 percent under certain circumstances) and a tax rate of at least 95 percent of comparable districts in the same state; (2) at least 35 percent federally connected children and have a tax rate of at least 125 percent of comparable districts in the same state; (3) boundaries that are the same as a federal military base; or (4) unusual geographic factors that increase the local costs of educational services. For FY 1996, funding for this section was $50 million, and approximately 15 districts received these payments, which average $1,000 per federally connected child.

Construction. Section 8007 provides funds for the construction or renovation of school facilities in eligible school districts, which include districts with large numbers of children living on Indian lands and districts with large numbers of children with a parent in the uniformed services. The need for this assistance is high among eligible districts, especially those serving large numbers of children living on Indian lands. These school districts are among the poorest in the country and have the most difficulty in raising capital for school construction because of their inadequate tax bases. Funding for this section was $5 million in FY 1996.

Payments for Federal Property. Section 8002 provides aid to districts with significant amounts of federally owned property acquired since 1938, generally based on an estimate of the local revenue that the school district would have received from the eligible federal property if that property had remained on the tax rolls (using a local official's determination of the taxable value of the eligible property and the district's local real property tax rate for current expenditures). FY 1996 funding for this section was $16 million. In FY 1996, roughly 260 school districts received Payments for Federal Property; of these, roughly 220 districts also received Basic Support Payments. The average Section 8002 payment ($73,000) was about 20 percent of the average Basic Support Payment ($363,567).

Strategic Initiatives

To improve the targeting of Impact Aid funds to the districts experiencing the greatest impact of federal activities, the Department continues to propose formula changes through appropriations language, as part of its annual budget request. To improve the timeliness of Impact Aid payments, the Department is working to establish improved review procedures and increase the use of technology in the review process. In order to transfer all Department-owned school facilities by the year 2005, the Department is continuing negotiations with school districts and cooperative efforts with the Department of Defense.

C. Program Performance–Indicators of Impact and Effectiveness

Impact Aid — DRAFT			
Goal: To provide appropriate financial assistance for federally connected children who present a genuine burden to their school districts.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
Basic Payments			
1. Provide payments on behalf of federally-connected children that closely approximate the actual local cost of educating children in the district, including federally connected children.	1.1 Payment amounts. Actual Basic payments will average within 10% of the "ideal" target payment: Local Contribution Percentage multiplied by the state average per pupil expenditure multiplied by the weighted count of federally connected children. 1.2 Per pupil expenditures. Recipient LEAs' per pupil expenditures, after receipt of Basic Payment, will be within 90% and 110% of the state average per pupil expenditures.	1.1 Annual application, National Center for Education Statistics (NCES), and payment data, 1997 1.2 Annual application, NCES, and payment data, 1997	• Propose formula changes through legislation and appropriations language to ensure that funds are directed to districts serving federally-connected children for whom the federal government has a primary obligation.
2. Make payments in a timely manner.	2.1 Timeliness of payments. 90% of eligible applicants will receive an initial payment within 60 days following the enactment of an appropriation.	2.1 Annual application and payment files, 1997. Data will be provided by program staff.	• Improve review procedures. • Increase use of technology.
Payments for Children with Disabilities			
3. Provide payments that closely approximate the actual increased local costs of educating federally connected children with disabilities.	3.1 Payment amounts. Payments per federally connected child will average at least 75% of the "ideal" target payment: LEA's reported expenditure per disabled pupil multiplied by the local contribution percentage for the state.	3.1 Annual application and payment data, 1997	• Propose formula changes through legislation and appropriations language to ensure that funds are directed to districts serving federally-connected children with disabilities for whom the federal government has a primary obligation.

Impact Aid — DRAFT

Goal: **To provide appropriate financial assistance for federally connected children who present a genuine burden to their school districts.**

Objectives	Indicators	Source and Next Update	Strategies
Payments for Heavily Impacted Districts			
4. Provide increased payments that support adequate current expenditures.	**4.1 Per pupil expenditures. Heavily impacted payments will provide sufficient funds so that the per pupil expenditures of eligible LEAs shall be between 90% and 110% of the state average per pupil expenditure.**	**4.1 Annual application and payment data, 1997**	**• Propose formula changes through legislation and appropriations language to ensure that funds are directed to districts serving high concentrations of federally-connected children for whom the federal government has a primary obligation.**
Facilities			
5. Continue to maintain, repair, renovate, and transfer ED-owned school facilities.	**5.1 Facility transfers. At least 6 school facilities shall be transferred to LEAs or relinquished annually. All ED-owned facilities shall be transferred or relinquished by 2005.** *In 1996, 4 facilities were transferred.*	5.1 Program files, 1997	**• The Department has requested funding to maintain ED-owned school buildings in a safe condition and fund a limited number of renovation and transfer projects in the FY 1998 budget.** **• Continue negotiations with LEAs to ensure timely transfer of facilities.** **• Continue cooperative efforts with the Department of Defense to encourage the transfer of facilities to school districts.**

Objective 1: Provide Basic Payments on behalf of federally connected children that closely approximate the actual local cost of educating children in the district, including federally connected children.

In FY 1996 only 7 percent of all Impact Aid districts received a Basic Payment that was within 10 percent of the "ideal" target payment, which is determined by multiplying the percentage of the district's funds raised from local revenue sources by the state average per-pupil expenditure, and then multiplying that per-pupil amount by the weighted count of federally connected children. Another 18 percent of the districts received a payment that was more than 10 percent above the ideal target payment. Thus, three-fourths of all Impact Aid districts received payments that were more than 10 percent below the ideal target payment.

While the Basic Support Payments tend to fall short of the actual local cost of educating children in Impact Aid districts, these districts tend to have average or above-average per-pupil expenditures compared with those of other districts in the same state. In FY 1996, nearly half (46 percent) of Impact Aid districts had a per-pupil expenditure, after receipt of their Basic Payment, that was at least 10 percent greater than the average per-pupil expenditure in their state; an additional 28 percent of the districts had a per-pupil expenditure that was within 10 percent of the state average.

Objective 2: Make payments in a timely manner.

Baseline data for this indicator will be available in 1998.

Objective 3: Provide payments for children with disabilities that closely approximate the actual increased local cost of educating federally connected children with disabilities.

Baseline data for this indicator will be available in 1998.

Objective 4: Provide increased payments for heavily impacted districts that support adequate current expenditures.

Baseline data for this indicator will be available in 1998.

Objective 5: Continue to maintain, repair, renovate, and transfer school facilities owned by the U.S. Department of Education.

In 1996, four facilities were transferred to school district ownership; there are 132 Department-owned school facilities that remain to be transferred or relinquished by the year 2005.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

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Program Studies:	Stephanie Stullich, (202) 401-1958

Public Charter Schools
(CFDA No. 84.282)

I. Legislation

Title X, Part C of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 8061-8067) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1995	$ 6,000,000
1996	18,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the Public Charter Schools Program is to increase national understanding of the charter schools model by providing financial assistance for the planning and initial implementation of charter schools and by evaluating the effects of such schools on school effectiveness and student achievement. Charter schools are designed to free communities and schools of unnecessary rules and regulations in return for accountability for results, and to provide increased educational options to parents, students, and teachers.

B. Strategies to Achieve the Goals

Services Supported

Grants are awarded on a competitive basis to state education agencies (SEAs) in states with charter school laws. An SEA receiving these funds must conduct a subsequent competition and award subgrants to eligible applicants within the state. If an eligible SEA elects not to apply for these funds, or applies and is not successful, an eligible applicant from that state may apply directly to the Department. An eligible applicant receiving a grant or subgrant may use the funds for planning and design of the educational program and for initial implementation of the charter school. The program currently provides grants to 19 states, the District of Columbia, and Puerto Rico, which in turn are providing subgrants to more than 400 charter schools (including both schools that are now operating and those that are approved but still in the planning stage).

Strategic Initiatives

The Department is conducting a wide range of national activities designed to increase public understanding of the charter school option, disseminate models and materials to assist in the development of charter schools with high-quality educational programs and strong accountability systems, and provide technical assistance to charter schools. These efforts are focusing on eight areas: sharing of lessons learned; cross-fertilization to noncharter schools; business management for educators; assessment and accountability; building of bridges to strengthen the entire education systems; aggressive outreach to organizations and constituencies; achievement of equity; and development of leadership. Specific projects include a Web site to provide information on charter schools, workshops for potential charter schools, a guidebook for charter school developers, and model materials for chartering authorities to provide guidance on ways to ensure that only the highest-quality applicants receive charters. In addition, a national study of charter schools will provide comprehensive information on charter schools and their impact on school quality and student achievement (see Section IV below).

C. Program Performance—Indicators of Impact and Effectiveness

Objective 1: Expand the number of charter schools and states with charter school laws.

In the spring of 1997 there were approximately 491 charter schools operating in 17 states, nearly double the number operating in 1995-96 (252 schools). In addition, another 206 charter schools have been approved to open in the fall of 1997. Laws authorizing the creation of charter schools have been enacted in 27 states, the District of Columbia, and Puerto Rico.

Objective 2: Evaluate the effectiveness of charter schools.

The Department has awarded a four-year contract for a national study of charter schools and their impact on school quality and student achievement (see Section IV below); the first report was issued in May 1997. In addition, existing and ongoing research will be analyzed to determine the effectiveness of charter schools in areas such as school governance, school finance, and assessment and accountability.

Objective 3: Increase national understanding of charter schools.

In 1996, program funds supported a wide range of outreach activities designed to increase understanding of charter schools: five informational and technical assistance sessions at three regional conferences, two national meetings to enable people from around the country to discuss ways to overcome obstacles and develop successful charter schools, three regional workshops to provide assistance to charter school operators and developers, and 15 informational meetings in states with new charter laws.

IV. Planned Studies

A four-year evaluation study includes annual surveys of all charter schools for four years (beginning with the 1995–96 school year) and a more intensive study of 72 charter schools and 28 comparison schools, to include site visits and analysis of student achievement data. The first report from this study, which provides descriptive information based on the first annual survey of all charter schools, was released in May 1997.

V. Sources of Information

1. Program files.
2. A Study of Charter Schools: First-Year Report (Washington, DC: U.S. Department of Education, Office of Educational Research and Improvement, 1997).

VI. Contacts for Further Information

Program Operations:	John Fiegel, (202) 260-2671
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Indian Education-Financial Assistance to Local Education Agencies--Subpart 1

(CFDA No. 84.060)

I. Legislation

The Formula Grants to Local Educational Agencies Program (Title IX, Part A, Subpart 1, of the Elementary and Secondary Education Act, as amended) (20 U.S.C. 7811-7818, 7881) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$11,500,000	1988	$49,170,000
1975	25,000,000	1989	52,748,000
1980	52,000,000	1990	54,276,000
1981	58,250,000	1991	56,259,000
1982	54,960,000	1992	56,965,000
1983	48,465,000	1993	59,304,000
1984	50,900,000	1994	57,210,000
1985	50,323,000	1995	59,686,000
1986	47,870,000	1996	50,000,000
1987	47,200,000		

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the Formula Grants program is to address the special educational and culturally related academic needs of American Indian and Alaska Native children. The Formula Grants program demonstrates the national commitment to providing American Indian and Alaska Native children with opportunities to meet challenging academic standards.

B. Strategies to Achieve the Goals

Services Supported

The Formula Grants program provides grants to local educational agencies (LEAs), certain schools funded by BIA, and Indian tribes under certain conditions. These grants serve 422,000 students in the public schools and Bureau of Indian Affairs (BIA) schools in 41 states through more than 1,200 projects (V.1). Reauthorized Indian Education programs support a comprehensive approach to educational reform and ensure that American Indians and Alaska Natives benefit from national education reforms and have the opportunity to achieve to high academic standards. Grantees may use funds for establishing, maintaining, and operating supplementary projects that are specifically designed to help Indian students achieve to state content and student performance standards. Projects are designed in response to a locally conducted needs assessment and with the involvement of a parent committee representing the parents of Indian students to be served. Activities typically

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include tutoring, dropout prevention strategies, early childhood and family programs emphasizing school readiness, culturally related projects, and enrichment activities that directly support the attainment of state content and performance standards.

Strategic Initiatives

The legislation promotes accountability for results and the integration of Indian Education services with other educational programs and with broader educational reforms under way in states and communities. Toward this end, the law requires each local education agency (LEA) to develop a comprehensive plan for its overall approach to the education of Indian students. The plan must describe how local, state, and federal funds available to the district will be used to pursue the LEA's goals for these students. LEAs must report periodically to their communities on the progress they have made toward attainment of their goals.

C. Program Performance—Indicators of Impact and Effectiveness

Although program performance indicators are currently under development, objectives of the program provide a framework for assessing available information on the progress of the Title IX, Part A, Indian Education program. The four goals are (1) American Indian student performance and achievement; (2) the content and quality of the education programs and materials available to American Indian students; (3) the extent to which schools have successfully cultivated and directed potential sources of educational support within the home and community toward meeting the needs of American Indian students; and (4) the capacity of schools and communities to improve teaching and learning for American Indian students.

Objective 1: American Indian students progress at rates similar to all students in attendance, achievement to standards, promotion, and graduation.

On the 1994 National Assessment of Educational Progress (NAEP), more than 50 percent of 4th-grade American Indian students scored below the basic level in reading proficiency, compared with 42 percent of all students. Forty-nine percent of American Indian 4th-graders scored below the basic level on the 1994 NAEP history assessment, compared with 39 percent for the nation. The 1992 NAEP math assessment showed that 55 percent of American Indian 4th-graders scored below the basic level, compared with 41 percent of all students (V.7).

Scores on the Scholastic Assessment Test (SAT) for American Indians and Alaska Natives have improved between 1987 and 1995. These students' scores increased by an average of 10 points for verbal and 15 points in mathematics. Likewise, between 1986 and 1995, American Indians and Alaska Natives showed the largest gains among all racial groups on the ACT assessment (V.4).

In 1994, 44 percent of American Native high school graduates earned the core credits recommended by *A Nation at Risk*—a dramatic increase over the 7 percent reported in 1982. This demonstrates the high levels at which these students can achieve.

The National Center for Education Statistics (NCES) report titled *Dropout Rates in the United States: 1993* showed a significant decrease in 10th through 12th grade dropout rates for native American Indians and Alaska natives--from 26.9 percent in 1980–82 to 17 percent in 1990–92 (V.5). However, the dropout rate of American Indian students continues to be the highest of any racial/ethnic group.

The graduation rate for 12th graders is higher at public schools serving large and small percentages of Indians (over 91 percent for both groups) than the rate for BIA/tribal schools (85 percent) (V.3).

Objective 2: American Indian students have access to high-quality curricula, resources, and instruction that are aligned with challenging standards in core academic areas and enhance knowledge of American Indian language and culture.

The 1997 National Center for Education Statistics (NCES) report, *Characteristics on American Indian and Alaska Native Education*, stated that BIA/tribal schools are more likely to offer compensatory programs such as Chapter 1, remedial math, and bilingual education than public schools. Moreover, public schools with high Indian student enrollment were more likely than public schools with low enrollment to offer these educational support services; over 70 percent of schools with high Indian enrollment offer Chapter 1 programs and remedial math programs, compared with 60 percent of schools with low Indian enrollment that offer the same programs (V.3).

Among schools serving 12th-graders, approximately half of the public schools with high Indian student enrollment (55 percent) and BIA/tribal schools (54 percent) offer college preparatory programs. Three-quarters of public schools with few Indian students (76 percent) offer these college programs. Correspondingly, only 43 percent of students in public schools with high Indian student enrollment and 33 percent of students at BIA/tribal schools apply to college, compared with 56 percent of students in public schools with low Indian student enrollment (V.2).

Objective 3: School systems cultivate relationships among schools, families, and communities that support and encourage American Indian students to attain the standards for academic excellence that are held for all students.

Performance information is currently lacking. However, public schools with high Indian student enrollment (25 percent or more) are much more likely than other public schools to experience serious social problems. Some 44 percent of principals in public schools with high Indian enrollment identified poverty as a serious problem, and more than 30 percent of principals viewed parental alcohol/drug abuse and lack of parental involvement as significant problems. Student absenteeism and student tardiness were also considered serious problems in public schools with high Indian student enrollment (V.3).

Objective 4: Title IX builds the capacity of school systems and native communities to improve teaching and learning for American Indian students.

The Department of Education conducted an evaluation titled *Improving Education for Indian Students in the Context of Education Reform: Challenges and Obstacles*, which reviewed LEA comprehensive plans in addressing the needs, including language and cultural needs, of Indian students. This study included an evaluation of Indian education components of selected Goals 2000 plans to improve educational opportunities for Indian children and adults.

The report revealed that many comprehensive plans submitted by Title IX grantees failed to address key issues affecting American Indian students. For example, more than half of the applications did not indicate whether they intend to assess the progress of all American Indian students in their district, as required. Often the LEA plans were vague about how the grantees would meet the requirement to address the "culturally related academic needs" of Indian students. In addition, there is widespread concern about the need for professional development targeted toward teachers, other school staff, parents, and community members who work and live with American Indian students (V.6).

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Characteristics of American Indian and Alaska Native Education (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1995).

3. Characteristics of American Indian and Alaska Native Education (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1997).

4. College-Bound Seniors: 1995 Profile of SAT Program Test-Takers (Princeton, NJ: College Board, 1995).

5. Dropout Rates in the United States: 1993 (Washington, DC:U.S. Department of Education, National Center for Education Statistics, 1994).

6. Improving Education for Indian Students in the Context of Education Reform: Challenges and Obstacles (Washington, DC: Policy Studies Associates, 1996).

7. 1994 NAEP Reading: A First Look: Findings from the National Assessment of Educational Progress (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1995).

VI. Contacts for Further Information

Program Operations:	David Beaulieu, (202) 260-3774
Program Studies:	Martha Chavez, (202) 401-1958

Indian Education--Special Programs and Projects to Improve Educational Opportunities for Indian Children--Subpart 2
(CFDA No. 84.060)

I. Legislation

Improvement of Educational Opportunities, Professional Development, and Fellowships for Indian[1] Students Programs (Sections 9121, 9122, and 9123 Programs) (Title IX, Part A, Subpart 2 of the Elementary and Secondary Education Act (ESEA), as amended, P.L.103-382 (20 U.S.C. 7831-7833) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$ 5,000,000	1988	$11,707,000
1975	12,000,000	1989	12,307,000
1980	15,600,000	1990	12,557,000
1981	14,500,000	1991	11,992,000
1982	14,880,000	1992	12,038,000
1983	12,600,000	1993	12,134,000
1984	12,000,000	1994	14,300,000
1985	11,760,000	1995	12,342,000
1986	11,301,000	1996	0
1987	11,568,000		

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of Section 9121 of the ESEA (Improvement of Educational Opportunities Program) is to support projects to develop, test, and demonstrate the effectiveness of services and programs to improve educational opportunities and achievement of Indian children.

The purposes of Section 9122 of the ESEA (Professional Development Program) are to (1) increase the number of qualified Indian individuals in professions that serve Indian people; (2) to provide training to qualified Indian individuals so that they have the opportunity to become teachers, administrators, teacher aides, social workers, and ancillary educational personnel; and (3) to improve the skills of individuals already serving in these positions.

The purpose of Section 9123 of the ESEA (Fellowship Program) is to award fellowships for not more than 4 academic years to Indian students to pursue graduate study and that leads to (a) a postbaccalaureate degree in medicine, clinical psychology, psychology, law, education, or (b) to an undergraduate or graduate degree in engineering, business administration, natural resources, and related fields. Awards are based on academic record, potential, and commitment. Recipients are required to work in a field that is related to their training and benefits Indian people; otherwise,

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[1] The term Indian refers to American Indian and Alaska Natives.

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recipients must repay the amount of the fellowship.

B. Strategies to Achieve the Goals

Services Supported

The Section 9121 program authorizes grants to state education agencies (SEAs), local education agencies (LEAs), Indian tribes, Indian organizations, federally supported elementary and secondary schools for Indian students, including Indian institutions of higher education, or a consortium of such institutions. These funds support the Improvement of Educational Opportunities for Indian Children Program, which provides discretionary funds to a number of entities -- a large number of which are Indian organizations -- for a variety of activities, including dropout prevention projects, partnership projects between LEAs and institutions of higher education, early childhood and kindergarten programs, comprehensive guidance and counseling services, bilingual and bicultural programs, and special health and nutrition services.

The Section 9122 program provides grants to institutions of higher education, including an Indian institution of higher education, an SEA or LEA, in consortium with an institution of higher education, and an Indian tribe or organization, in consortium with an institution of higher education. Grant funds under this section are used to provide support and training -- such as continuing programs, symposia, workshops, conferences, and direct financial support -- for Indian students.

The Section 9123 program provides grants to institutions of higher education for tuition payment for Indian students pursuing graduate or undergraduate degrees in the fields already mentioned.

C. Program Performance—Indicators of Impact and Effectiveness

Program performance indicators are under development.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	David Beaulieu, (202) 260-3774
Program Studies:	Martha Chavez, (202) 401-1958

Indian Education--Special Programs Relating to Adult Education for Indians--Subpart 3
(CFDA No. 84.060)

I. Legislation

The Improvement of Educational Opportunities for Adult Indians (Title IX, Part A, Subpart 3 of the Elementary and Secondary Education Act, as amended, P.L.103-382 (20 U.S.C. 7851) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$ 500,000	1988	$3,000,000
1975	3,000,000	1989	4,000,000
1980	5,830,000	1990	4,078,000
1981	5,430,000	1991	4,226,000
1982	5,213,000	1992	4,349,000
1983	5,531,000	1993	4,561,000
1984	3,000,000	1994	4,861,000
1985	2,940,000	1995	5,420,000*
1986	2,797,000	1996	0
1987	3,000,000		

*Reflects a redistribution of appropriated funds subsequent to enactment of the reauthorized ESEA.

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the program is to support planning, pilot, and demonstration projects that are designed to test and demonstrate the effectiveness of programs for improving employment and educational opportunities for adult Indians[1]. This program is intended to enable Indian adults to acquire basic literacy, complete secondary school or a high school equivalency program, and obtain the education necessary for them to benefit from vocational training.

B. Strategies to Achieve the Goals

Services Supported

The Indian Education Act, Subpart 3, provides grants to Indian tribes, institutions, and organizations to develop and establish educational services and programs specifically designed to improve educational opportunities for Indian adults. Grants can be made to, or enter into contracts with, public agencies and institutions and Indian tribes, institutions, and organizations, for the dissemination of information about educational programs, services, and resources available to Indian adults, including evaluations of the programs, services, and resources, and the evaluation of federally assisted programs in which Indian adults may participate to determine the effectiveness of the programs in achieving their purposes with respect to Indian adults.

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[1] The term Indian refers to American Indian and Alaska Natives.

C. Program Performance—Indicators of Impact and Effectiveness

Program performance indicators are under development.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	David Beaulieu, (202) 260-3774
Program Studies:	Martha Chavez, (202) 401-1958

Safe and Drug-Free Schools and Communities—
State Grants
(CFDA No. 84.186)

I. Legislation

The Safe and Drug-Free Schools and Communities Act of 1994, Title IV of Amendments to the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7111-7118) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1987	$161,046,000
1990	460,554,000
1991	497,702,000
1992	507,663,000
1993	498,565,000
1994	369,500,000
1995	440,981,000
1996	440,978,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the program is to provide federal financial assistance to states for school- and community-based programs of violence and drug and alcohol abuse education and prevention, including programs to prevent violence in and around schools.

B. Strategies to Achieve the Goals

Services Supported

Approximately 40 million school-age children in public and private schools (kindergarten through grade 12) are served by Safe and Drug-Free Schools and Communities Act (SDFSCA) programs. High-risk youth, including children of substance abusers, economically disadvantaged youth, and dropouts or youth who were at risk of dropping out of school, are the main focus of programs operated with governors' funds (V.1).

Services provided include student training and instruction, staff training and development, student support services, purchase or development of instructional materials, training for parents and community members, community awareness and coordination, and needs assessment and evaluation. Most frequently, programs focus on improving students' knowledge, attitudes, and values about drugs; developing students' decision-making skills and self-confidence; developing students' social and interpersonal skills; enhancing the knowledge, skills, and abilities of staff involved in drug prevention programs; and referring and counseling students with problems (V.1).

Each state allocation is divided between the SEA and the Office of the Governor; while SEA funds flow through districts to schools, the majority of governors' program funds are provided via grants to community agencies for projects to serve young people who are not easily reached through schools, such as dropouts. The SEA must allot most of its funds to local educational agencies (LEAs) and intermediate educational agencies on the basis of enrollment in both public and private, nonprofit schools, and must target 30 percent of these funds on high-need districts. LEAs determine how to allot the funds they receive to their schools. No more than 9 percent of the states' SEA allocation may be used for program administration, training, and technical assistance activities. For the governors' program, 5 percent may be used for administrative costs and 10 percent must be used for law enforcement education partnerships.

Strategic Initiatives

SDFSCA National Programs support a variety of initiatives designed to improve the quality of drug and violence prevention programs being implemented across the nation, including those activities being supported with SDFSCA state grant funds. A detailed description of those activities is found in the Strategic Initiatives section of Chapter 117.

C. Program Performance—Indicators of Impact and Effectiveness

Safe and Drug-free Schools — DRAFT

Goal: To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.

Objectives	Indicators	Source and Next Update	Strategies
Outcomes			
1. **Reduce alcohol and drug use and availability in schools.**	1.1 Rates of alcohol and drug use (alcohol, marijuana, tobacco) in schools will decrease.	1.1 Monitoring the Future (MTF), 1997 (8th, 10th, and 12th grade use of alcohol, marijuana, tobacco use measured.)	The strategies for working with schools are focused on helping schools to improve the quality of their drug and violence prevention programs. Components include: • Bringing researchers together to assist in identifying elements of promising prevention programs. • Developing set of "principles of prevention." • Identifying promising prevention programs and strategies.
	1.2 The number of students who are offered illegal drugs at school will decrease. *1992 levels were 10%, 18% and 23% for 8th, 10th, and 12th grades.*	1.2 MTF, 1997	
			• Hosting conference for SEAs, Governors, and large SEAs to showcase promising programs. • Collaborating with OJJDP on implementation of truancy initiative. • Collaborating with OJJDP on support to provide assistance to schools in violence prevention activities. • Develop plans for large scale demonstration program focusing on creating safe schools.

Safe and Drug-free Schools — DRAFT			
Goal: To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
			• Identify and provide support for programs, practices, that have proven effective in creating safe schools.
2. Reduce number of criminal and violent incidents in schools.	2.1 The number of criminal and violent incidents in school (by students) will decrease. 2.2 The number of weapons and firearms carried to school will decrease. *12% of high school students carried weapon on school property.* 2.3 The number of physical fights resulting in injury will decrease. *1993 Baseline: 16%:* 2.4 The number of physical attacks, threats on teachers will decrease. *Teachers physically attacked was 2 percent; threatened was 8%.*	2.1 National Crime Survey, 1997; MTF, 1997 (threatened, injured, and theft.) 2.2 Center for Disease Control's (CDC) biennial Youth Risk Behavior Survey (YRBS), 1997; annual data on ED/Gun Free School Act, 1997 2.3 Biennial YRBS, 1997 2.4 MTF, 1997	• Provide training and technical assistance, in collaboration with the Department of Justice, to SEAs and LEAs on effective violence prevention strategies.

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Safe and Drug-free Schools — DRAFT			
Goal: To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
	2.5 The number of students who don't go to school because they feel unsafe will show decrease. *In 1991, 7% of 8th graders; 4% of 10th graders; and 3% of seniors did not go to school because they were afraid.* 2.6 The number of school-related homicides will decrease. *CDC/ED study: 85 school-associated homicides in 1992-1994* 2.7 The number of students whose learning is occasionally interfered with by misbehaving students will decrease. *In 1992: 53% of 8th and 10th graders had their learning occasionally interfered with by other misbehaving students.*	2.5 MTF, 1997 2.6 Study needs to be conducted for 1998/99 and interim, if possible. 2.7 MTF, 1997	
3. Reduce alcohol and drug use among school-aged youth.	3.1 Rates of alcohol and drug use among school-aged children will decrease. 3.2 Increasing percentages of students will report negative attitudes toward drug and alcohol use.	3.1 MTF, 1997 (marijuana, cocaine, LSD, heroin, meth, tobacco, and alcohol); National Household Education Survey, 1998 3.2 MTF, 1997	• In collaboration with the White House's Office of National Drug Control Policy (ONDCP) and HHS, ED will assist in development of an Administration-wide media campaign to reduce youth drug use.

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Safe and Drug-free Schools — DRAFT

Goal: **To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.**

Objectives	Indicators	Source and Next Update	Strategies
			• ED will host focus groups around country to help identify most effective message to send to youth, regarding drug use.
Quality programs and services			
4. Assist IHEs to implement effective drug and violence prevention programs.	*4.1 To be determined*	*4.1 To be determined.*	• Award discretionary grants for the development, implementation, validation, and dissemination of model programs and strategies. • Support a training and technical assistance center.
5. Assist LEAs to align their programs with ED's principles of effectiveness for prevention programs **— Research-based** **— Tied to a needs assessment** **— Objectives are measurable** **— Goals are tied to outcomes** **— Periodic evaluation** **— Demonstrations are permitted**	5.1 By 1999, all LEAs will use prevention programs that are based on the principles of effectiveness.	5.1 Survey, to be developed, 1998	• Develop and promulgate principles of effectiveness for prevention programs. • Develop guidance and provide technical assistance to states and local education agencies in how to apply the principles. • Work with HHS and the Office of National Drug Policy to identify and promote the most effective programs. • Establishing a Safe and Drug-Free Schools Program (SDFSP) Internet web page to make schools aware of promising practices.

Safe and Drug-free Schools — DRAFT

Goal: **To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.**

Objectives	Indicators	Source and Next Update	Strategies
			• Hold a conference for all SEAs, governors' offices, and large LEAs on what works. • Disseminate joint ED/Justice publication on conflict resolution. • Reinstitute the Safe and Drug-Free Schools Recognition Program (this will provide models). • Letter to be sent to all Chief State School Officers informing them of need to develop more effective prevention programs. • Conduct a teleconference, in collaboration with the Department of Justice, on effective programs.
6. Ensure that LEAs enforce the Gun-Free Schools Act.	6.1 By 1997 all LEAs receiving ESEA funds will have a policy requiring notification of law enforcement of all incidents where a firearm is involved. 6.2 By 1997 all LEAs receiving ESEA funds will have policies requiring the expulsion for a year of students who bring firearms to school.	6.1 Annual performance reports from local programs, 1997, and ED staff monitoring, 1997 6.2 Gun Free Schools Act data collection, 1997	• As part of monitoring activities LEAs will be asked to provide evidence that districts have policies related to these three issues. • ED will identify school districts not in compliance and will provide technical assistance in order to come into compliance.

Safe and Drug-free Schools — DRAFT

Goal: To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.

Objectives	Indicators	Source and Next Update	Strategies
	6.3 All LEAs have policies prohibiting smoking in school.	6.3 ED/LEA survey supplemented with data from HHS/CDC School Health Policies and Programs Report, 1997	
7. Assist LEAs to set policies prohibiting the sale, distribution, and use of alcohol, drugs, and tobacco products at school or at school-sponsored functions.	7.1 By 1997, all LEAs will have policies prohibiting the sale, distribution, and use of alcohol, and other drugs at school or at school-sponsored functions and activities.	7.1 ED/LEA survey, supplemented with data from SHPPS Survey, 1997.	• ED will develop policy for ensuring "medical marijuana" is kept out of all schools, and will disseminate policy to all SEAs. • ED will identify school districts not in compliance and will provide technical assistance in order to come into compliance.
8. Improve the quality and use of state and local performance data.	8.1 All states will conduct statewide surveys or collect statewide data of alcohol and drug use of students and incidents of crime and violence in schools. 8.2 All LEAs will collect and report to SEA incidents that are in violation of the Gun Free Schools Act. 8.3 By July 1997, all SEA and Governor's programs will have acceptable performance indicators.	8.1 ED/SDFS Survey, 1998 8.2 ED Gun-Free Schools Act data collection, 1997 8.3 Review of ED files, 1997.	• Develop discretionary grant program to improve SEAs' capacity to collect and analyze data. • Include requirement to collect appropriate data for recognition under Recognition Program. • No state plan to be approved without performance indicators. Those SEAs that are unable to develop appropriate indicators will be provided technical assistance.

Safe and Drug-free Schools — DRAFT

Goal: **To help ensure that all schools are safe, disciplined, and drug free by promoting implementation of high quality drug and violence prevention programs.**

Objectives	Indicators	Source and Next Update	Strategies
	8.4 All states will use performance indicators to make decisions regarding approval of LEA application for FY 1997 funding. 8.5 By July 1997, all LEAs will have performance indicators for their SDFS programs. 8.6 LEAs will routinely use performance indicators to determine if activities should be continued or modified.	8.4 ED/SDFS Survey, 1998 8.5 ED/LEA Survey, 1998 8.6 ED/LEA Survey, 1998	- ED will identify school districts not in compliance and will provide technical assistance in order to come into compliance.
Federal administration (Safe and Drug Free Schools office)			
9. Provide high-quality products and technical assistance that helps align local programs with principles of effectiveness.	9.1 A high proportion of persons responding to inquiries regarding use of products developed by SDFS will rate them as "high quality" or higher, and as "useful." or "very useful."	9.1 Approval needed from OMB to include feedback form on all SDFS products and materials.	- SDFS will develop process for obtaining feedback on all of its products.
10. Maintain strong administrative and fiscal control over the state and discretionary grant programs.	10. All audit findings or issues identified by GAO, IG, or other auditors will be responded to within the time frame set by the agency conducting audit or report.	10. Relevant GAO, IG, and Audit Reports.	- All audits to be reviewed for identification of patterns of abuse or problems, remedial action to be taken once identified. - SEAs to be briefing in new audit procedures.

Information on Indicator Data Sets for Safe and Drug Free Schools Program		
Data Set	**What Collected**	**When Collected**
Monitoring the Future (MTF)	***National data (from selected nationally represented LEAs) on alcohol and drug usage, and on victimization in schools.***	***Annual (First collected in 1975)***
School Health Policies and Programs Study (SHPPS)	***State, district, and school level data on alcohol, drug, and violence policies and practices.***	***First collected in 1994, will be collected again in 2000.***
NCES, Schools and Staffing Survey	***Provides information on safety and victimization (including bullying, physical attack, robbery) and on classroom disruptions.***	***Conducted every two years. Information available for: 1987-88; 1990-91; 1993-94.***
ED/OESE Drug-Free Schools and Communities Act Survey	***Provides a variety of information--process and outcome--related to alcohol and drug use, and violence in schools.***	***Initial survey to cover July 1993 through June 1995 (1993-94 and 1994-95 school years).***
National Crime Victimization Survey	***Provides a variety of information on crime and victimization.***	***Conducted annually by the Bureau of Justice Statistics. BJS prepared a special analysis of school crime in 1992; another is due to be released in 1997.***
Gun-Free Schools Act Report	***Number of violations of the GFSA, e.g., number of students who are caught with firearm in school.***	***Annual (First report due 1997.)***
National Household Education Survey (NHES)	***Provides information on school safety and discipline.***	***1993 NHES provided information on School Safety and Discipline.***
School Associated Violent Deaths in the United States	***Provides information on the number, nature, and circumstances surrounding school-associated violent deaths: homicides and suicides.***	***Initially conducted for 1992-93/1993-94 school years. Need to negotiate future study or to include questions regarding school associated violent deaths in another survey.***

Evaluation Findings

Characteristics of DFSCA State and Local Programs: Summary of the 1989–91 State Biennial Performance Reports (V.2) and *Characteristics of DFSCA State and Local Programs: Summary of the 1991-93 State Biennial Performance Reports* (V.3), summarize SEA and governors' reports. These reports apply to the antecedent (Drug-Free Schools and Communities Act, or DFSCA) program.

School-Based Drug Prevention Programs: A Longitudinal Study in Selected School Districts summarizes the findings from a study of school-based drug prevention programs sponsored by the U.S. Department of Education's Drug-Free Schools and Communities program (now reauthorized as the Safe and Drug-Free Schools and Communities program). [Data collection for this longitudinal study, which began in the 1991–92 school year and ended in 1994–95, predated the implementation of statutory changes made by the Improving America's Schools Act of 1994 in Title IV of the Elementary and Secondary Education Act. The changes made in the 1994 act, in addition to adding violence prevention to the program, target 30 percent of the local educational agency (LEA) funds to LEAs with the greatest need for program services.]

The study collected data annually from approximately 10,000 students in 19 school districts over four years, and included case studies of the drug prevention programs in those districts. The confidential students' surveys covered student self-reported use of alcohol and other drugs, as well as related measures such as attitudes and beliefs towards drugs. Although the student responses derive from a nonrepresentative sample of districts, the responses are consistent with national trends. The case studies focused on implementation of the drug prevention programs and included interviews with program and school staff, reviews of program materials, and observations of prevention activities (V.4).

Evaluation findings and other data sources that relate to the performance indicators for the program are summarized as follows:

Objective 2: Reduce number of criminal and violent incidents in schools.

The use of drugs was related to violent behavior in schools. A much larger proportion of current users of alcohol and other drugs (32 percent of them) reported being involved in school fights as the aggressors than did current nonusers (14 percent of those students) or students who had never tried drugs (6 percent). Higher levels of reported gang activity and violence at school were significantly associated with greater drug use and more tolerant views toward drugs (V.4).

Objective 3: Reduce alcohol and drug use among school-age youth.

Between 1989 and 1993, SEA and LEA programs continued to grow, reaching almost all districts and focusing on students in general (V.2, 3).

- In 1992–93 about 40 million students received DFSCA services through SEAs and LEAs (up from 39.5 million students in 1990–91); 97 percent of LEAs participated (94 percent in 1990–91), with 34 percent participating via consortia (38 percent in 1990–91) (V.2, 3).

- Target populations served by LEAs in 1992–93 were students in general (85 percent), teachers

(66 percent); and parents (57 percent); 1990-91 targets were students in general (68 percent), teachers (51 percent), high-risk youth (33 percent), counselors (27 percent), and parents (23 percent) (V.2, 3).

- Most LEA funds were used for teacher training (68 percent), student instruction (67 percent), curriculum development (64 percent), student assistance programs (58 percent), special one-time events (55 percent), and parent involvement (52 percent). Primary uses in 1990–91 were student assistance programs, student instruction, teacher training, and curriculum development (V.2, 3).

Between 1989 and 1993, governors' programs increased their focus on school-age youth, including disadvantaged youth and students in general (V.2, 3).

- Populations served in 1992–93 included school-age youth (63 percent, up from 43 percent in 1990–91); law-enforcement officials and other community members (22 percent, down from 26 percent); parents (11 percent, down from 27 percent); and teachers, counselors, other school staff (3 percent, down from 5 percent) (V.2, 3).

- In 1992–93, populations targeted by high-risk youth projects were economically disadvantaged youth (83 percent, up from 49 percent in 1990–91); students experiencing academic failure (71 percent, up from 36 percent), and children of drug users (70 percent, up from 42 percent). Discretionary projects most often targeted students in general (75 percent, up from 43 percent) (V.2, 3).

Some drug prevention programs improved student outcomes, but effects were small (V.4).

- Student outcomes were somewhat better in districts where the prevention programs had greater stability over time (in place for a long period, with continuity of staff, planning, and leadership), and in districts with more extensive program components (targeting both the general student population and high-risk students, and including student support services—such as student assistance programs, student support groups, individual and group counseling, mentoring projects, and conflict mediation) (V.4).

Results from *Monitoring the Future*, an annual national survey of 8th–, 10th–, and 12th–graders, show that alcohol, tobacco, and other drug use is a serious problem for school-age youth. After 12 years (1979–91) of steady decline, youth drug use has recently increased (although levels are still significantly below the peak reached in 1979). The 1995 Monitoring the Future study found that drug use by 8th–, 10th–, and 12th–graders continued to increase (V.5):

- Marijuana use increased significantly in 1995: 16 percent of 8th–graders used marijuana in 1995 (up from 6 percent in 1991); 35 percent of 12th–graders used marijuana in 1995 (up from 22 percent in 1992). Moreover, *daily* use continued to rise; nearly 1 in 20 12th–graders (4.6 percent) uses marijuana daily (V.5).

- Use of alcohol generally remained steady but high—30 percent of 12th–graders had *five* or more drinks in a row during the two weeks preceding the survey (V.5).

- Drug use is widespread and begins early; 38 percent of 8th–graders have tried an illegal drug (including inhalants) at least once. (Use of alcohol is not included in the percentage reported for illicit drugs; 55 percent of 8th–graders indicated that they have taken a drink.) (V.5).

Beliefs about drugs' harmfulness are important determinants of use. Monitoring the Future found the proportions of students seeing drugs as dangerous continued to decline in 1995 (V.5).

- For example, the recent increase in marijuana use has been accompanied by a sharp decline in the perceived risk of using marijuana, which generally began after 1991 in all three grade levels (e.g., while 79 percent of 12th–graders in 1991 thought regular marijuana users run a "great risk" of harming themselves, by 1995 only 61 percent thought so) (V.5).

- Peer disapproval is also an important deterrent, and tolerance for drug use has recently increased, although most youth disapprove of trying drugs. Even for marijuana, 57 percent of 12th–graders disapprove of trying it (V.5).

Student behaviors, beliefs, and attitudes about drugs in the Department's longitudinal study mirrored national trends, showing increases over time in drug use and attitudes and beliefs favorable to drug use (V.4).

- Alcohol was the most widely used substance for students at any grade level, and it was also the first drug that most students tried. One-third of students surveyed had tried alcohol (more than just a sip) prior to or while in grade 5. Eighteen percent of 8th–graders and 24 percent of 9th–graders reported being heavy users of alcohol (V.4).

- Students believed that their peers approved of drugs more than they themselves did (and more than the peers reported) and held inflated beliefs about the amount of drugs their peers used (V.4).

- Students who reported that they had positive school experiences were significantly less likely to use drugs than their peers who had negative experiences with school (V.4).

- Concerning student use of time, activities associated with lower drug use included engaging in sports and exercise, doing volunteer work, and spending more than two hours per day on homework; spending more time on video games or watching television was associated with greater drug use (V.4).

Larger social influences should be considered in any future research and in rethinking drug prevention efforts (V.4).

- Wide variations in student drug use in the different communities studied suggest that research should explore alternative models that can influence social norms affecting student behavior (V.4).

Objective 5: Assist LEAs to align their programs with ED's principles of effectiveness for prevention programs.

Few schools employed program approaches that have been found effective in previous research (V.4).

- Districts rarely implemented approaches that, according to current research, have the greatest potential for making a difference for students, such as those that teach children how to resist and deal with the powerful social influences for using drugs and those that correct the misperceptions of peer drug use. A likely reason is the higher cost of these approaches, particularly in terms of teacher training and staff time (V.4).

- While all school districts conducted informal assessments of their programs periodically, fewer than half conducted and responded to the evidence of more formal evaluations in selecting or altering their programs (V.4).

Program delivery was variable and inconsistent, even within schools (V.4).

- The amount and content of prevention programming varied greatly from classroom to classroom and school to school, even within districts that were attempting to deliver consistent programs (V.4).
- Inconsistent implementation resulted because teachers and counselors simply did not have enough time, support, training, or motivation to provide all the instruction or other activities that they had planned to provide (V.4).

Objective 7: Assist LEAs to set policies prohibiting the sale, distribution, and use of alcohol, drugs, and tobacco products at school or at school-sponsored functions.

In 1995 the U.S. Department of Health and Human Services published the results of the School Health Policies and Programs Study. This study, which collected data in 1994, included surveys of all 50 states and the District of Columbia, a nationally representative sample of public and private districts, and a nationally representative sample of public and private middle/junior high and senior high schools. One area studied was state, district, and school policies prohibiting tobacco, alcohol, and other drug use. The study included questions about whether these policies existed, and about such policy characteristics as when and where they apply and the specific statements, rules or procedures they contain (V.6).

Results showed that virtually all districts and schools (97 percent) have written policies concerning alcohol and other drug use; 96 percent of districts prohibit student alcohol and other drug use in school buildings and grounds during school hours; 90 to 92 percent prohibit such use in school buildings and grounds at all times. Furthermore, 82 percent of all states recommend, and 85 percent of all districts include as part of these policies, descriptions of violations and possible consequences; 82 percent of states recommend, and 77 percent of district policies include, procedures for communicating the policy to students, staff, and parents; 82 percent of states recommend, and 72 percent of district policies include, support for prevention education (V.6).

IV. Planned Studies

In 1996 the U.S. Department of Education began a study of school violence and violence prevention efforts. This study will obtain information on the incidence of violence in schools nationally and the effectiveness of approaches to preventing violence in schools. The study design includes a national survey and case studies of selected schools. Preliminary information will be available in 1998, and the study is due to be completed in 2001.

V. Sources of Information

1. Program files.
2. J. Thorne, B. Gorham, J. Holley and B. Cook, Characteristics of DFSCA State and Local Programs: Summary of the 1989-91 State Biennial Performance Reports (Washington, DC: U.S. Department of Education, 1997).
3. M. Tashjian, S. Silvia, and J. Thorne, Characteristics of DFSCA State and Local Programs: Summary of the 1991–93 State Biennial Performance Reports (Washington, DC: U.S. Department of Education, 1997).
4. S. Silvia and J. Thorne, Executive Summary of School-Based Drug Prevention Programs: A Longitudinal Study in Selected School Districts (Washington, DC: U.S. Department of Education, 1997).
5. University of Michigan, "Drug Use Rises Again in 1995 among American Teens" (Ann Arbor, MI: Author, 1995).
6. J. Ross, K. Einhaus, L. Hohenemser, B. Greene, L. Kann, and R. Gold, "School Health Policies Prohibiting Tobacco Use, Alcohol and Other Drug Use, and Violence," in Journal of School Health 65(8), 333-336, October 1995.

VI. Contacts for Further Information

Program Operations:	Deborah Rudy, (202) 260-1875
Program Studies:	Joanne Wiggins, (202) 401-1958

Safe and Drug-Free Schools and Communities—
National Programs
(CFDA No. 84.184)

I. Legislation

The Safe and Drug-Free Schools and Communities National Programs, Subpart 2, Part A, Title IV of the Elementary and Secondary Education Act (20 U.S.C. 7131-7133) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1987	$ 4,993,000
1990	3,829,000
1991	6,159,000
1992	6,709,000
1993	4,884,000
1994	5,933,078
1995	25,000,000
1996	24,993,000

Note: For FYs 1987 to 1994, the amounts include only the funds the Department used for Federal Activities Discretionary Grants programs; for FYs 1995 and 1996, the amounts include funds for Federal Activities Discretionary Grants programs as well as other strategic initiatives.

III. Analysis of Program Performance

A. Goals and Objectives

To support programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels from preschool through the postsecondary level. Programs are carried out through agreements with other federal agencies or through assistance to state and local educational agencies, institutions of higher education, and nonprofit organizations.

B. Strategies to Achieve the Goals

Services Supported

The Safe and Drug-Free Schools and Communities Act (SDFSCA) National Programs support the development and implementation of comprehensive programs in elementary and secondary schools and in institutions of higher education to prevent drug use and violence. Activities include identification of model programs and approaches to prevention, dissemination of information about effective programs and strategies, technical assistance to local education agencies that directly supports classroom teaching, and interagency initiatives that promote coordination and collaboration among federal agencies for prevention of drug use and violence.

Under the SDFSCA Federal Activities Discretionary Grants Program, in FY 1994 the Department funded 27 new demonstration grants at an average cost of $219,934. In FY 1995 the Department funded 12 new demonstration grants at an average cost of $295,864. In FY 1996 the Department held two separate grant competitions, awarding seven new demonstration grants related to the prevention of hate crimes at an average cost of $259,582 and 28 new demonstration grants related to prevention of drug use and violence at an average cost of $326,347. Grant projects are administered by state education agencies, local education agencies, institutions of higher education, and nonprofit organizations.

The FY 1995 competition funded projects to establish, expand, or improve models for alternative education for students expelled from their regular education program. Examples of funded projects include:

- Project Crossroads, operated by the New York City Board of Education. The project provides an alternative middle school and an alternative high school for 400 violent or dangerous youths expelled from grades 6-12. These schools provide for low student-adult ratios, personalized instruction, student-family involvement, work-force readiness, and interpersonal skills training and conflict resolution.

- *Path Finders*, which serves 25 students expelled from District of Columbia public schools on gun charges. The objective of the project is to counter the risk factors and behaviors associated with the use of weapons by providing a range of services including counseling, anger management, conflict resolution, and basic workforce readiness.

Projects funded by the Department under the FY 1996 competition for projects to develop and implement innovative, effective strategies for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities directly affected by hate crimes include the following:

- *The Anti-Defamation League's World of Difference Institute*, which is an antibias, anti–hate-crime training program being implemented at four high schools and their feeder elementary and middle schools in three states: California, Nebraska, and New York. The project, which is designed as a national pilot for general replication, will train 1,200 teachers in skills necessary to identify, understand, and effectively combat bias-related incidents and hate crime, 400 parents and community leaders as antibias, anti–hate-crime trainers, and 120 students as peer trainers.

- *A cooperative effort between the New Haven (CT) Police Department Bias Crime Unit and its Community Advisory Board* that will focus on reducing the incidence of hate–motivated crime and conflict in the city of New Haven. The project will use established links between the police department and the community through 12 community policing substations. Activities will include an advocacy project to train volunteers to help survivors of hate crimes, and a summer outreach project that will conduct interactive educational presentations with school-age youth enrolled in summer programs.

In FY 1996 the Department also funded a competition for projects to develop and implement, expand, or enhance innovative programs designed to accomplish one or more of the following goals: (1) infusing research-based knowledge about "what works" into the design, development, and implementation of school-based strategies to prevent drug use among youth; (2) removing firearms and other weapons from schools; (3) preventing truancy and addressing the needs of youth who are out of the education mainstream; and (4) preventing violent, aggressive, intimidating, or other disruptive behavior arising out of bullying, sexual harassment, or other cause. Some examples of funded projects are:

- *Project ENDURE*, being implemented in the Jefferson County Public Schools to help truant and adjudicated youths attend and be successful in school. The project is designed as a two-year social service integration demonstration model that brings together school, family, and community to implement a transitional program for the reintegration of truant and adjudicated youth into the school system. This year-round project will enable 200 such youths to reintegrate into the school system and increase the capacity of 50 elementary school staff to prevent disruptive behavior that leads to truancy and adjudication.

- *The Safe and Supportive School Initiative* being implemented by the East Baltimore Mental Health Partnership, a collaborative effort between state and city government, local community service providers, and the Community Health Centers of Johns Hopkins University and Johns Hopkins Hospital. The initiative is a program of social skills training and anger management designed to prevent or remediate aggressive and violent behaviors among elementary school children.

- *Project SAVE (Safe Alternatives to Violent Expression)*, designed for youth between the ages of 12 and 16. In collaboration with the District of Columbia Public School System, the project will recruit and train about 300 youth each year. Goals include increasing knowledge about interpersonal violence and alcohol and other drug use, increasing the capabilities of participants to avoid arguments and violent encounters, decreasing the number of interpersonal violence encounters, and increasing participants' community involvement.

Strategic Initiatives

In addition to the demonstration projects already described, SDFSCA National Programs support the development of other innovative programs that demonstrate effective new methods of ensuring safe and drug-free schools and communities, and ultimately will provide models of proven effective practices that will help schools and communities around the nation improve their programs under the SDFSCA State Grants Program.

Some initiatives supported by SDFSCA National Programs are these:

- A longitudinal study of the educational implications of prenatal drug exposure. The project will develop a manual of school-based interventions designed to help teachers work effectively with these children in regular classroom settings and counter some of the behaviors that place them at high risk for later drug use.

- In collaboration with the Maternal and Child Health Bureau in the Department of Health and Human Services, two grants to train teachers and health care providers in techniques of anger management and violence prevention for youth.

- Identification and dissemination of information about model programs, activities, and strategies for programs that provide educational alternatives for students who have been expelled from their regular classroom for a variety of reasons, including drug use and disruptive or violent behavior.

- Planning and implementation of a meeting of state drug education coordinators and representatives of large urban school districts to provide technical assistance on drug and violence prevention programs that research has shown to have a significant impact on reducing youth drug use and violent behavior.

- Facilitation of a meeting of school security officers from 24 large urban school districts to discuss issues related to creating and maintaining safe, secure schools.

- Support of a technical assistance center for institutions of higher education to help in the design and implementation of drug and violence prevention programs on college campuses.

- In conjunction with the Office of Juvenile Justice and Delinquency Prevention, support of a project to integrate youth who are out of the educational mainstream (youth who are truant, are afraid to go to school because of violence or bullying, have been released from correctional institutions, or are dropouts) back into school. The initiative includes identification of model programs, regional training sessions at four sites around the country, and training and technical assistance in 10 communities.

C. Program Performance—Indicators of Impact and Effectiveness

See the indicators described in Chapter 116 (the SDFSCA State Grant Program).

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Charlotte Gillespie, (202) 260-1862
Program Studies:	Joanne Wiggins, (202) 401-1958

Comprehensive Regional Assistance Centers
(CFDA No. 84.283)

I. Legislation

Title XIII, Part A of the Elementary and Secondary Education Act (ESEA) of 1965, as amended (20 U.S.C. 8621-8625)(expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1995	$ 1,500,000
1996	21,507,000

III. Analysis of Program Performance

A. Goals and Objectives

Title XIII of the Elementary and Secondary Education Act (ESEA), as reauthorized in 1994, created 15 Comprehensive Regional Assistance Centers to help state and local education agencies implement educational reform.

The Comprehensive Regional Assistance Centers are part of a national technical assistance and dissemination system designed to make technical assistance available to states, local education agencies, tribes, schools, and other recipients of funds under the ESEA. Specific technical assistance goals are to provide assistance in (1) administering and implementing ESEA programs; (2) implementing school reform programs to improve teaching and learning; (3) coordinating ESEA programs with other federal, state, and local education plans so that all students (particularly, students at risk of educational failure) are given opportunities to meet challenging state content and performance standards; and (4) adopting, adapting, and implementing promising and proven practices for improving teaching and learning.

B. Strategies to Achieve the Goals

Services Supported

Comprehensive Regional Assistance Centers are to provide services that:

- Improve the quality of instruction, curricula, assessments, and other aspects of school reform with funds under Title I of the ESEA;
- Implement effective schoolwide programs under Section 1114 of the ESEA;
- Implement high-quality professional development activities for teachers, administrators, and other staff;
- Improve the quality of bilingual education;

- Create safe and drug-free school environments;
- Implement educational applications of technology;
- Expand the involvement and participation of parents in the education of their children;
- Reform schools, school systems, and the governance and management of schools;
- Evaluate programs; and
- Meet the special needs of both urban and rural students and school districts.

Strategic Initiatives

High-quality, comprehensive technical assistance is an essential ingredient of the Department's overall strategy through the ESEA, to improve teaching and learning, and to give all children opportunities to achieve to challenging standards. The Comprehensive Regional Assistance Centers are intended to provide "one-stop shopping" to the Department's customers in the education community in ways that contribute to improving schools and entire school systems.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators for the Comprehensive Regional Assistance Centers Program are being developed.

IV. Planned Studies

In 1997 a survey will be conducted to determine the extent to which populations served under the ESEA are satisfied with their access to and the quality of services provided by the Comprehensive Regional Assistance Centers, as required by the statute.

An evaluation study is also planned to begin in FY 1997 that will provide information regarding the availability and quality of center services. The study will evaluate (1) the extent to which the assistance provided by the centers is contributing to significant improvements in the quality of educational programs and student achievement; (2) the factors that affect service delivery, including questions about organizational capacity, adequate and appropriate staffing, resource allocation, roles and responsibilities; and (3) the effective use of technology.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Steven Brockhouse, (202) 260-2476
Program Studies:	Susan Sanchez, (202) 401-0886

Christa McAuliffe Fellowships
(CFDA No. 84.190)

I. Legislation

The Higher Education Act of 1965, as amended, Title V, Part C, Subpart 2 (20 U.S.C. 1105a-1105i) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1987	$2,000,000
1988	1,915,000
1989	1,892,000
1990	1,932,000
1991	1,954,000
1992	2,000,000
1993	1,964,000
1994	1,964,000
1995	1,946,000
1996*	

*The Christa McAuliffe Fellowship activities are being funded under the Fund for Improvement of Education authorization in the Education Research, Statistics, and Improvement account.

III. Program Goals and Objectives

The Christa McAuliffe Fellowships provide annual fellowships to outstanding public and private elementary and secondary school teachers to continue their education, develop innovative programs, consult with or assist school districts or private school systems, or engage in other educational activities that will improve their knowledge and skills and the education of their students.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Daniel Bonner, (202) 260-2517
Program Studies:	Daphne Hardcastle, (202) 401-7949

Women's Educational Equity Act Program
(CFDA No. 84.083)

I. Legislation

The Women's Educational Equity Act (WEEA), Title V of the Elementary and Secondary Education Act of 1965, as amended by Part B of the Improving America's Schools Act of 1994 (20 U.S.C. 3041-3047) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1990	$2,098,000
1991	1,995,000
1992	500,000*
1993	1,984,000
1994	1,984,000
1995	3,900,000
1996	0

*For FY 1992, Congress appropriated $500,000 for a contract to be awarded for the operation of the WEEA Publishing Center. Because no funds above that amount were made available, the Department did not conduct a competition for new grants during FY 1992.

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the Women's Educational Equity Act (WEEA) program are to promote educational equity for girls and women, including those who suffer multiple discrimination based on gender and on race, ethnicity, national origin, disability, or age, and to provide funds to help education agencies and institutions meet the requirements of Title IX of the Education Amendments of 1972.

B. Strategies to Achieve the Goals

The program awards grants and cooperative agreements to public agencies and nonprofit, private agencies, institutions, and organizations, including student and community groups, and individuals to operate programs that promote educational equity for women and girls.

Authorized activities include those designed to:

- Prevent sexual harassment;
- Train teachers, other school staff, and school administrators in gender-equitable instructional techniques;

- Increase opportunities for women and girls in nontraditional fields through leadership training and school-to-work transition programs; and

- Help pregnant teens and teens who are parents remain in school, graduate, and prepare their children for preschool.

The program continues to support the development, evaluation, and dissemination of instructional and other materials, as well as research, development, and demonstrations designed to advance gender equity.

WEEA funds support a wide variety of projects, including the development and evaluation of educational materials, training programs, and guidance and counseling activities, for all levels of education. WEEA grantees may provide direct services to a target group or may develop educational materials that are disseminated through the WEEA Equity Resource Center.

The center expanded its networking capacity with the addition of electronic networking. Through its initial link with EquityNet, the resource center now shares resources and information with social service organizations and individuals who subscribe to EquityNet, increasing the impact of gender equity awareness and access to WEEA resources.

The center continues to publish and disseminate digests and monographs that have contributed to the national education reform discussion--especially the topics of women's and girls' participation in math and science, and gender–based violence.

It continues to work with local and national organizations that routinely disseminate WEEA information and materials, working especially closely with the Desegregation Assistance Centers, Comprehensive Technical Assistance Centers, the Association of American University Women, Girls, Inc., the Center for Urban Education, the College Board, and Expanding Your Horizons.

The WEEA Resource Center sales continue to climb. There is increased interest in materials relating to non–traditional career choices, women in transition, and gender-based violence. Requests for information on Title IX has soared. International requests for gender equity materials has also increased. Math and science requests continue, especially in those states attempting systemic reform.

In FY 1995 the Department awarded 18 grants; 12 were implementation projects and 6 were research and development projects. In FY 1996 there was no appropriation for WEEA, and 8 grants were absorbed and funded by other programs. Ten grants were given no-cost extensions. The implementation grants focused on activities in support of systemic reform efforts at the school district level and on school-to-work initiatives. Several of the research and development grants are updating products previously developed under WEEA, and are researching the causes and prevention of gender–based violence and sexual harassment.

The WEEA program is administered under the Improving America's Schools Act, which returned the dissemination of materials developed under the program to the Office of Elementary and Secondary Education. In addition, projects now focus on local implementation of gender-equity policies and practices.

Sales from the WEEA Equity Resource Center continue to be made to teachers and faculty of community and junior colleges, colleges and universities, local education agencies, and intermediate agencies, including learning centers and area education agencies. The resource center responds to requests for assistance from individuals and organizations nationwide representing adult programs, employment centers, girls clubs, career centers, child-care networks, guidance counselors, and K-12 teachers. In addition, there has been increased interest in mentoring in math and science materials, and in the identification, prevention, and resolution of sexual harassment and gender–based violence.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. WEEA Equity Resource Center: Current Sales Activity, User Surveys.

VI. Contacts for Further Information

Program Operations:	Beth Baggett, (202) 260-2502
Program Studies:	Barbara J. Coates, (202) 401-1958

Migrant Education--High School Equivalency Program (HEP) and College Assistance Migrant Program (CAMP) (CFDA No. 84.141 and 84.149)

I. Legislation

Higher Education Act (HEA) of 1965, Section 418A, P.L. 89-329, as amended by P.L. 102-325 (20 U.S.C. 1070d-2 (6))(expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation		Fiscal	Appropriation	
	HEP	**CAMP**		**HEP**	**CAMP**
1980[1]	$6,160,000	$1,173,000	1989	$7,410,00	$1,482,000
1981	6,095,000	1,208,000	1990	0	1,720,000
1982	5,851,200	1,600,000	1991	7,858,000	1,952,000
1983	6,300,000	1,200,000	1992	7,807,000	2,265,000
1984	6,300,000	1.950,000[2]	1993	8,310,000	2,224,064
1985	6,300,000	1,200,000	1994	8,161,184	2,224,064
1986	6,029,000	1,148,000	1995	8,161,184	2,204,000
1987	6,300,000	1,200,000	1996	8,088,000	2,028,000
1988	7,276,000	1,340,000			

1/ The Department of Labor began funding HEP and CAMP in 1967, but the program was transferred to the Department of Education in 1980.

2/ Includes a $750,000 supplemental appropriation for CAMP.

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the High School Equivalency Program (HEP) is to provide academic and support services to migratory and seasonal farmworkers (or children of such workers), who are 16 years of age or older and not currently enrolled in school, to obtain the equivalent of a high school diploma and subsequently to gain employment or begin postsecondary education or training. The College Assistance Migrant Program (CAMP) helps first-year migrant college students to make the transition from high school to college and to complete a college education. Grants for both HEP and CAMP are made to institutions of higher education (IHEs) or other nonprofit agencies that cooperate with such institutions.

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B. Strategies to Achieve the Goals

Services Supported

HEP participants receive developmental instruction and counseling services intended to prepare them (1) to complete the requirements for high school graduation or the general education development (GED) certificate, (2) to pass a standardized test of high school equivalency, and (3) to participate in subsequent postsecondary educational or career activities. The major services offered through HEP are counseling, placement services, health care, financial aid, stipends, housing for residential students, and attendance at cultural and academic programs. HEP serves approximately 3,000 students annually, in a combination of residential and commuter programs.

CAMP's services include counseling, tutoring, as well as stipends, tuition, and room and board to first-year, undergraduate migrant students, and help those students obtain student financial aid for their remaining undergraduate years. CAMP serves approximately 360 participants annually.

In FY 1996, 20 HEP programs were funded in 13 states, and 6 CAMP programs were funded in 5 states.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are under development.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: Mary Suazo, (202) 260-1396

Program Studies: Martha Chavez, (202) 401-1958

Educational Improvement Partnerships--National Programs
Arts in Education
(CFDA No. 84.998A)

I. Legislation

Title X, Part D, Subpart 1, of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Improving America's Schools Act of 1994 (20 U.S.C. 8091) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1976	$750,000	1988	$3,315,000
1980	3,500,000	1989	3,458,000
1981	2,025,000	1990	3,851,000
1982	2,025,000	1991	4,392,000
1983	2,025,000	1992	8,600,000 *
1984	2,125,000	1993	6,944,000
1985	3,157,000	1994	8,944,000
1986	3,157,000	1995	10,500,000**
1987	3,337,000	1996	9,000,000

*A one-time increase was provided in FY 1992 to allow grantees to switch funding cycles and begin receiving their awards on or around July 1, instead of October 1.

**Includes a one-time allocation of $1.5 million to the Louisiana International Learning and Technology Center in Baton Rouge, Louisiana.

III. Analysis of Program Performance

A. Goals and Objectives

The Arts in Education Program is authorized to support systemic education reform by strengthening arts education as an integral part of the elementary and secondary school curriculum; to help ensure that all students have the opportunity to learn to challenging content and performance standards in the arts; and to support the national effort to enable all students to demonstrate competence in the arts in accordance with the National Education Goals. Program funds currently support national activities through the Very Special Arts, Inc. and the John F. Kennedy Center for the Performing Arts.

B. Strategies to Achieve the Goals

Services Supported

The Arts in Education program makes awards to the Very Special Arts, Inc. (formerly the National Committee, Arts for the Handicapped) to encourage and support high-quality programming integrating the arts into general education for disabled youth and adults. The program also supports educational activities of the John F. Kennedy Center for the Performing Arts, including: the Alliance for Arts Education, a network of state arts organizations; the American College Theater Festival; Performances for Young People; internship programs; and other educational services.

The Arts in Education program is also authorized to award grants, contracts or cooperative agreements to state and local education agencies, institutions of higher education, museums, and other cultural organizations to carry out its objectives if appropriated funds exceed $9 million.

Strategic Initiatives

Funds awarded to Very Special Arts, Inc. ($5 million annually in 1995 and 1996) support training and technical assistance to promote organizational and public/private partnerships, program development and expansion, and information and public awareness services related to arts education for persons with disabilities through Very Special Arts Festivals and Other Activities.

Funds awarded to the Kennedy Center ($4 million annually in 1995 and 1996) are used primarily to support the Alliance for Arts Education, the "Imagination Celebration," the American College Theater Festival, and other arts and community activities.

C. Program Performance—Indicators of Impact and Effectiveness

PROGRAM GOAL: To implement and manage successfully the Arts in Education Program by providing grants to enhance the arts

Objectives	Indicator and Target/Benchmark	Data Source/Next Update
1. To enhance the arts by providing funding to two nonprofit national organizations.	1.1 The extent to which providing funds to the John F. Kennedy Center for the Performing Arts enhances the visibility of arts education throughout the nation.	Annual Performance Report Annual On-site Monitoring
	1.2 The extent to which providing funds to Very Special Arts, Inc. enhances opportunities for arts education for students and adults throughout the nation who are physically challenged.	Annual Performance Report Annual On-site Monitoring

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Shelton Allen, (202) 260-2487
Program Studies:	Joanne Bogart, (202) 401-1958

Educational Improvement Partnerships --National Programs -- Inexpensive Book Distribution

I. Legislation

Title X, Part E of the Elementary and Secondary Education Act of 1965 (ESEA), as amended (20 U.S.C. 8131) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$5,850,000	1990	$ 8,576,000
1983	5,850,000	1991	9,271,000
1984	6,500,000	1992	10,000,000
1985	7,000,000	1993	10,029,000
1986	6,698,000	1994	10,300,000
1987	7,800,000	1995	10,300,000
1988	7,659,000	1996	10,265,000

III. Analysis of Program Performance

A. Goals and Objectives

The Inexpensive Book Distribution program is designed to support and promote the establishment of programs to promote reading, including the distribution of inexpensive books to students in order to encourage students to read. The program is directed at preschool, elementary, and secondary students. As a result of the National Literacy Act of 1991, the program places a selection priority for new grantees on children with special needs--such as low income children, children at risk for school failure, children with disabilities, emotionally disturbed children, foster children, homeless children, migrant children, children without access to libraries, institutionalized children, incarcerated children, and children whose parents are institutionalized or incarcerated.

B. Strategies to Achieve the Goals

Services Supported

The program, administered through a contract between the U.S. Department of Education and the nonprofit organization Reading Is Fundamental, Inc. (RIF), encourages reading by providing students with inexpensive books and motivational activities. RIF also arranges discounts for distributors to enable local organizations such as schools, PTAs, and community groups to purchase books at reduced rates.

With FY 1995 funds, approximately 4,500 local projects distributed an estimated 8 million books to 2.5 million children in 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, and Guam. Projects serve over 500,000 children at more than 2,000 sites. Since 1976, RIF has distributed over 100 million books to local groups through its subcontractor book companies. (This figure includes books donated to the program, as well as those purchased with program funds.)

Federal funds pay for 75 percent of the book costs for all federally funded projects, except those serving children of migrant farmworkers, which receive 100 percent federal funding. With this exception, federally funded projects must raise funds to cover the remaining 25 percent of book cost and 100 percent of any other costs. Other local RIF projects are supported entirely by funds from private contributions and local fundraising efforts. Ninety-nine percent of staff operating federally funded projects are unpaid volunteers, which keeps operational costs low.

Administrative practices of local RIF projects differ. One- or two-site projects have a project coordinator who organizes project activities, enlists the support of volunteers, and selects and coordinates book selection committee members and activities. Multi-site projects include staff at a mid-management level, who oversee selected sites.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are under development.

IV. Planned Studies

None. RIF does not currently collect performance data.

V. Sources of Information

Program files for funding history.

VI. Contacts for Further Information

Program Operations:	Shelton Allen, (202) 260-2487
Program Studies:	Susan Thompson-Hoffman, (202) 401-0091

Educational Improvement Partnerships—National Programs
Instruction in Civics, Government, and the Law
(CFDA No. 84.123)

I. Legislation

Section 10602 of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 8142).

II. Funding History

Fiscal Year	Appropriation
1980	$1,000,000
1985	2,000,000
1990	4,938,000
1991	5,855,000
1992	6,000,000
1993	5,952,000
1994	5,952,000
1995	4,500,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program was to enable children, youth, and adults to become better informed citizens by providing them with knowledge and skills pertaining to the law, the legal process, the legal system, and the fundamental principles and values on which these are based. Program appropriations ended in FY 1995, and this is a close-out report on the program.

B. Strategies to Achieve the Goals

Services Supported

Local, state, and national projects predominantly served students in public and private schools from kindergarten through grade 12. The legislation also contained a priority for statewide projects.

The Instruction in Civics, Government, and the Law Program was designed to help prepare students for responsible citizenship through challenging courses that stimulated the ability to reason, solve problems, and apply knowledge. Many projects promoted personal responsibility and got students involved in community service. Instruction in Civics, Government, and the Law covers a wide range of subjects such as the Bill of Rights and other areas of constitutional law; the role and limits of law in a democratic society; the federal, state, and local lawmaking process; the role of law in avoiding and resolving conflicts; the administration of the criminal, civil, and juvenile justice systems; and issues of authority, freedom, enforcement, and punishment.

For the 1994 school year, 26 law-related education projects were funded in 17 states. The FY 1994 grants ranged in size from $53,720 to $370,000 and were made to state and local education agencies, and public and nonprofit organizations. Three projects were nationwide, while 16 were statewide in scope and 7 were local.

IV. Planned Studies

In 1994 the Department began a study of law-related education, including case studies of exemplary projects. A report from this study is due to be released in 1997.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Frank B. Robinson Jr., (202) 260-2669
Program Studies:	Joanne Wiggins, (202) 401-1958

Education for Native Hawaiians
(CFDA Nos. 84.208-84.210)

I. Legislation

Title IX, Part B of the Elementary and Secondary Education Act, as amended (20 U.S.C. 7901 et seq.) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1989	$ 4,940,000
1990	6,419,000
1991	6,366,000
1992	6,400,000
1993	6,448,000
1994	8,224,000
1995	9,000,000
1996	12,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The four overall goals of the Native Hawaiian Education Programs are to (1) develop supplemental educational programs to help native Hawaiians reach the National Education Goals; (2) provide direction and guidance to appropriate federal, state, and local agencies to focus resources on native Hawaiian education through the establishment of a native Hawaiian Education Council and five Island Councils; (3) supplement and expand existing programs and authorities in the area of education for native Hawaiians; and (4) encourage the maximum participation of native Hawaiians in planning and management of Native Hawaiian Education Programs.

B. Strategies to Achieve the Goals

Services Supported

The Native Hawaiian Education Council and Island Councils coordinate educational and related services and programs available to native Hawaiians, including the programs funded under ESEA Title IX, Part B (Education for Native Hawaiians). The Education Council consists of 25 members, three-fourths of whom are native Hawaiian. The council provides administrative support and financial assistance to the Island Councils, which are located on Hawaii, Maui and Lanai, Molokai, Lauai and Nihau, and Oahu.

The Family-Based Education Centers Program, which has two grantees, sponsors (1) programs for expectant parents and infants from birth to three years old, (2) preschool programs for four- and five-year-olds, (3) continued research and development, and (4) a long-term followup and assessment program. The Kamahameha Schools program operates 24 centers that serve approximately 5,000 children. The Punana Leo program operates approximately 11 sites and serves approximately 700 children.

The Gifted and Talented Program provides educational enrichment activities and family support services designed to identify gifted and potentially gifted children. Approximately 600 children are benefiting from the Super Saturday enrichment programs, summer institutes, and the family workshops that enable parents to encourage their childrens' academic, cultural, and social growth at home.

The Native Hawaiian Community-Based Education Learning Centers (NHCBELC) program has enabled the establishment of centers at these four sites: (1) Halau Naauao at Hawaii Community College; (2) NHCBELC at Kauai Community College; (3) NHCBELC at Leeward Community College; and (4) the Mahala Ka'Ike Institute at Maui Community College. The centers are authorized to meet the needs of families and communities through departmental and interagency coordination of new and existing public and private programs and services, which may include preschools, after-school programs, and vocational and adult education programs.

The Native Hawaiian Curriculum Development, Teacher Training, and Recruitment Program is developing--in conjunction with the University of Hawaii systemwide Hale Kuamo'o Hawaiian Language Center, the University of Hawaii Hawaiian Studies Department, and students in training for immersion language teaching--materials that are appropriate and sufficient for a comprehensive native Hawaiian language immersion program.

In addition, this program focuses on recruitment of potential teachers for the language immersion program. The project will work closely with the University of Hawaii to offer accelerated language classes for teachers and those students studying to become teachers so that the educational needs of Native Hawaiian students will be better met.

IV. Planned Studies

None.

V. Sources of Information

1. Program Files
2. Performance Reports
3. 1993 Native Hawaiian Educational Assessment

VI. Contacts for Further Information

Program Operations:	Madeline Baggett, OESE, (202) 260-2502 Linda Glidwell, OSERS, (202) 205-9099 Collie Pollock, OPE, (202) 260-3439
Program Studies:	Barbara J. Coates, (202) 401-1958

Dwight D. Eisenhower Professional Development Program
Part B--State and Local Activities
(CFDA No. 84.164)

I. Legislation

Title II, Part B of the Elementary and Secondary Education Act, as amended (Dwight D. Eisenhower Professional Development Program) (20 U.S.C. 6641) (expires September 30, 1999).

The program began in 1985, first authorized in 1984 under Title II of the Education for Economic Security Act, and was reauthorized as the Dwight D. Eisenhower Mathematics and Science Education Program in Title II, Part A, of the Elementary and Secondary Education Act (ESEA), as amended in 1988. The program became the Dwight D. Eisenhower Professional Development Program under Title II, Part B, in the 1994 reauthorization of ESEA.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	0	1991	$202,011,000
1985	$90,100,000	1992	240,000,000
1986	39,182,000	1993	246,016,000
1987	72,800,000	1994	250,998,000
1988	108,904,000	1995	251,298,000
1989	128,440,000	1996	275,000,000
1990	126,837,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goals of the Eisenhower Professional Development Program are to provide financial assistance to state and local education agencies and to institutions of higher education to support sustained and intensive high-quality professional development, and to ensure that all teachers will provide challenging learning experiences for their students in elementary and secondary schools. The program also focuses attention on meeting the educational needs of diverse student populations, including females, minorities, individuals with disabilities, individuals with limited English proficiency (LEP), and economically disadvantaged individuals, to give all students the opportunity to achieve to challenging state standards.

B. Strategies to Achieve the Goals

The Eisenhower Professional Development Program primarily supports in-service professional development for teachers. According to Department analyses of state performance reports (V.1), 93 percent of all districts and over 1,300 institutions of higher education participated in the Eisenhower Program in the 1993-94 school year. (Note: Data the for 1993-94 school year describe the Eisenhower Mathematics and Science Program, the program before the 1994 reauthorization. The 1995-96 school year was the first year affected by the 1994 reauthorization. As of the spring of 1997, state performance report data for the 1994-95 school year were being analyzed and summarized. State annual performance reports on the 1995-96 school year are due to the Department at the end of May 1997.)

Administered through state education agencies (SEAs), formula grant funds to districts during the 1993-94 school year supported activities that served over 1 million participants, 93 percent of whom were in-service teachers. During this same period, grants to institutions of higher education, administered through state agencies for higher education (SAHEs) and equal to about one-third the total amount of formula grant funds to districts, supported activities that served over 100,000 participants, 88 percent of whom were in-service teachers. (Note: These figures may count some participants more than once because some teachers may have participated in more than one activity.)

The federal government made significant changes in the Eisenhower State Grant Program to overcome weaknesses identified in the past and to strengthen the capacity of professional development to support systemic educational reform efforts. The 1994 reauthorizing legislation goes beyond the previous focus on improving the skills of teachers and the quality of instruction to a new focus on improving teaching and learning as part of comprehensive educational reforms.

As reauthorized in 1994, Part B of the Eisenhower Program supports state and local efforts to provide sustained and intensive, high-quality professional development as part of comprehensive planning by states and local districts to give teachers the knowledge and skills needed to provide to all students the opportunity to meet challenging state content and student performance standards in the core academic subjects. Consistent with this emphasis on comprehensive planning, the 1994 legislation encourages coordination of activities funded by Title II with other professional development activities, Goals 2000, Title I and other ESEA programs, and other federal and state programs.

Reauthorization also expanded the program, at state and local option, to include all core subjects (instead of only math and science). This change provides states and local districts with the flexibility to coordinate professional development activities with the introduction and implementation of state content and performance standards. At the same time, the program ensures continued support for mathematics and science by requiring that state and local shares of the first $250 million in appropriated funds be devoted to professional development in those areas. However, some states and districts have requested waivers of that requirement.

C. Program Performance--Indicators of Impact and Effectiveness

The U.S. Department of Education has developed a performance indicator system to use in monitoring, evaluating, and managing the Eisenhower Program. (The indicator system was developed through consultation with the Eisenhower state coordinators and the National Science Foundation.) The Department also has made the Eisenhower performance indicators available for states to share with their districts and to draw on, if they wish, in developing their own performance indicators for professional development.

The Department has developed new state performance report forms aligned with the Eisenhower performance indicator system; the forms also reflect key aspects of the program as described in the 1994 reauthorizing legislation. The Department will use information from the state performance reports to monitor progress toward program objectives and to identify needs for technical assistance.

It can be very challenging to gather valid data on the effects of professional development programs. As one comprehensive review of in-service professional development programs in math and science concluded, evaluative information is scarce, information on outcomes is especially rare, and much of the information that does exist relies on self-reporting by teachers (V.3).

Information currently available on the antecedent Eisenhower Mathematics and Science Program provides some information on how the program performed in 1993-94. As of the spring of 1997, the Department is completing the summary and analysis of the 1994-95 state performance reports. In addition, in February 1997, the Department launched a three-year evaluation that will assess the program's contribution toward systemic educational reform. The evaluation will also provide data for some of the program's performance indicators.

Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
1. Classroom instruction is improved through effective professional development.	1.1 **Teachers' skills and classroom instruction.** By 1998, over 50% of a sample of teachers will show evidence that participation in Eisenhower-assisted professional development has resulted in an improvement in their knowledge and skills, and by 1999 in an improvement in classroom instruction.	1.1 National Eisenhower (Ike) Evaluation, 1998; related information from annual state performance reports, 1997	
2. High-quality professional development and state policy are aligned with high state content and student performance standards.	2.1 **District-level professional development.** By 1998, over 50% of district-level Eisenhower-assisted professional development activities will be aligned with high state content and student performance standards	2.1 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	• Work with professional organizations such as the National Council of Teachers of Mathematics (NCTM) to develop strategies for encouraging states to link professional development to high state standards.
			• Disseminate information at national meetings of SEA state coordinators on aligning professional development activities with high state content and student performance standards. • Disseminate lessons learned from the Third International Math and Science Study (TIMSS).
	2.2 **Higher education professional development.** By 1998, over 50% of Eisenhower-assisted higher education professional development activities will be aligned with high state content and student performance standards.	2.2 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	• Make presentations at national meetings of state agencies of higher education (SAHE) coordinators on aligning Eisenhower-assisted professional development activities with high state content and student performance standards.

Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
			• Eisenhower program has developed a communications network with the State Higher Education Executive Officers (SHEEO) that serves as a vehicle for the delivery of technical assistance to SAHE coordinators. • Disseminate lessons learned from the Third International Math and Science Study (TIMSS).
	2.3 **Context (not limited to any single program). Licensure.** By 1997, 75 percent of the states will review state licensing standards for teachers. At least 50 percent of the states will make progress in aligning and raising teacher licensing standards tied to high state content and student performance standards.	2.3 Surveys by national organizations such as the Council of Chief State School Officers (CCSSO), American Association of Colleges for Teacher Education (AACTE), and the National Council for Accreditation of Teacher Education (NCATE)	• Encourage state coordinators to use a part of their Eisenhower funding to improve state licensing and certification standards. • Work closely with OERI's Eisenhower National Programs (Part A) to help states to improve their licensure and certification standards for teachers.
	Baseline: From 15-20 states are actively involved in reforming teacher education licensure. Sources: American Association of Colleges of Teacher Education Survey, 1995; personal communication with AACTE, 1996.		

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Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
3. Professional development is sustained, intensive, and high-quality and has a lasting impact on classroom instruction.	3.1 **High quality.** By 1998, over 50% of district-level, Eisenhower-assisted professional development activities will reflect best practices, including a focus on continuous improvement.	3.1 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	• Develop and promulgate principles of effective professional development to improve accountability. • Implement a pilot project to develop math and science instructional modules in 1997. Incorporate lessons learned from TIMSS. The modules will be distributed to all Eisenhower SEA and SAHE coordinators. • Produce and disseminate a publication on exemplary models for professional development programs that receive Eisenhower funding. • Continue to work with the National Science Foundation (NSF) to share information on best practices.
	3.2 **Intensity.** By 1998, 35% of district-level Eisenhower-assisted activities will be a component of professional development that extends over the school year; by 2000, over 50%.	3.2 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team (IRT) visits, 1997	• Through technical assistance workshops, program guidance, and ED's integrated review team (IRT) visits, the states are encouraged to adopt and report on strategies that promote professional development activities that extend over the school year and assist in reaching the states' reform efforts.

Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
	3.3 **Context (not limited to any single program).** Surveys of teachers will show larger percentages engaged in intensive, sustained professional development that is designed to enable them to teach to high standards.	3.3 National Center for Education Statistics' (NCES) Schools & Staffing Survey, 1994; NCES Fast Response Survey, 1997	● Use survey results to provide base line data to determine if larger percentages of teachers engage in professional development activities of longer duration.
	3.4 **Context (not limited to any single program): Teacher networks.** By 1998, the percentage of teachers will increase who report that teacher networks have been effective in helping them understand or use comprehensive reform strategies.	3.4 Fast Response Survey 1996-1998; surveys by professional organizations, including SHEEO, NCTM, NSTA, NEA AACTE, ASCD, and others	● Meet with organizations such as the State Higher Education Executive Officers (SHEEO), National Council of Teachers of Mathematics (NCTM), National Science Teachers Association, (NSTA), National Education Association (NEA), American Association of Colleges for Teacher Education (AACTE), American Society for Curriculum Development (ASCD), and others to develop strategies for expanding teacher networks for Eisenhower participants.

Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
4. High-quality professional development is provided to target populations.	4.1 **Underrepresented populations.** The proportion of teachers participating in Eisenhower-assisted activities who are from historically underrepresented populations will exceed the proportion of the national teacher pool from historically underrepresented populations.	4.1 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	● Continue to promote the critical need to involve teachers from historically underrepresentative populations. ● Review need assessment plans required of each local education agency to ensure that teachers from underrepresentative groups are included in long term, sustained and intensive professional development. ● Work with teacher preparation groups to enhance their recruitment efforts.
	4.2 **High-poverty schools.** The proportion of teachers participating in Eisenhower-assisted activities who teach in high poverty schools will exceed the proportion of the national teacher pool who teach in high poverty schools.	4.2 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	● Same as 3.1
	4.3 **Context (not limited to any single program): Teachers.** Teachers in high-poverty schools will participate in intensive, sustained, high quality professional development at rates comparable to or higher than the rates for teachers in other schools.	4.3 NCES' Schools & Staffing Survey 1994; NCES Fast Response Survey 1996-1998	● Same as 3.1.

Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
	Baseline: According to the Schools & Staffing Survey 1994, 36% of teachers in public schools with high concentrations (75% of more) of students receiving Chapter 1 services participated in programs focusing on in-depth study in their subject field, compared to 30% for teachers in public schools with low concentrations (less than 25%) of students receiving Chapter 1 services. 37% of the teachers in high poverty schools participating in these programs reported that they lasted 8 hours or less, compared to 49% in low-poverty schools.		
	4.4 **Context (not limited to any single program): Para-professionals.** The number of paraprofessionals, especially those who work with Title I students, who participate in high-quality professional development activities will increase annually.	4.4 Longitudinal Evaluation of School Change and Performance, 1998; survey by International Reading Association, 1998	• Work with Title I to increase professional development activities for teachers.
5. Effective management of the Eisenhower Program supports systemic reform at the federal, state, and local levels.	5.1 **Integrated federal planning and collaboration.** ED will implement a plan to integrate professional development across Departmental programs by the end of 1997, and across key federal agencies, including NSF, by the end of 1998. The plan will include core performance indicators for professional development and joint data collection.	5.1 Reports by ED's Professional Development Team to ED's Executive Management Council, 1997	• Work closely with ED's Professional Development team and Executive Management Council to develop and implement a federal integrated plan for professional development.

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Eisenhower Professional Development Program — DRAFT

Goal: Improve the quality of classroom teaching through professional development.

Objectives	Indicators	Source and Next Update	Strategies
	5.2 **Federal guidance and assistance.** The number of Eisenhower state coordinators who report that ED guidance and assistance are timely and helpful will increase.	5.2 Office of the Under Secretary's Planning and Evaluation Service (PES) Survey of State Federal Program Administrators, 1997	• Develop strategies to improve customer service to state and local sites.
	5.3 **Integrated state planning and collaboration.** By 1998, 35% of all states will have developed performance indicators for integrated professional development across programs to support systemic reform and will have data collection systems in place; by 2000, 75%.	5.3 National Ike Evaluation, 1998; related information from annual state performance reports, 1997; ED integrated review team visits, 1997; and ED review of consolidated state plans, 1997	• Provide technical assistance to states on preparation of performance indicators for state administration of the Eisenhower program.. • Ensure that ED's comprehensive technical assistance centers provide states' support and assistance.
	5.4 **Integrated local planning and collaboration.** By 1998, 35% of all districts will have developed performance indicators for integrated professional development across programs to support systemic reform and will have data collection systems in place; by 2000, 75%.	5.4 National Ike Evaluation, 1998; related information from annual state performance reports, 1997 and ED integrated review team visits, 1997	• Provide technical assistance to states on performance indicators for local programs.

Objective 1: Classroom instruction is improved through effective professional development.

In developing Eisenhower priorities, the ultimate measure of program success is a measure of whether Eisenhower-supported professional development leads to improvements in classroom instruction. The three-year evaluation of the program will provide information on this important objective.

Objective 2: High-quality professional development and State policy are aligned with high State content and student performance standards.

Alignment with overall state goals in mathematics and science was one of the most important considerations when developing objectives. Such alignment was cited by all but two states in 1993-94 reports (V.1). The three-year evaluation of the Eisenhower Program will provide information on alignment.

Objective 3: Professional development is sustained, intensive, and high-quality, and has a lasting impact on classroom instruction.

In 1994 the National Science and Technology Council (NSTC) began a study of teacher enhancement programs in science and technology supported by the Education Department, the U.S. Department of Energy, National Aeronautics and Space Administration, National Institutes of Health, National Science Foundation, and the Smithsonian Institution (V.4). The NSTC study included nine projects receiving funding from the Department's Eisenhower Program. Although the study began before changes from 1994 reauthorization were implemented, the quality of the selected Eisenhower projects compared favorably with professional development sponsored by the other federal agencies.

Documentation and onsite observation by researchers showed that six of the nine Eisenhower-assisted projects examined in the NSTC study (V.4) ranked above the overall mean score for best practices. The Eisenhower-assisted projects were found to be especially strong in incorporating follow-up activities that focused on classroom application, such as periodic workshops, opportunities for participants to share their experiences, school visits by professional development staff or mentors, continuing contact, and technical assistance. The Eisenhower projects also received high scores for using a systemic perspective, aligning the professional development with state or voluntary national standards in science education and with school or district strategic plans.

A national evaluation of the Title II Eisenhower Mathematics and Science Program was conducted for the Department in the 1988-89 school year (V.5). The national evaluation found many examples of workshops supported by this program that focused on the kinds of pedagogy needed for reform — pedagogy emphasizing hands-on, active learning and problem solving. Program funds sometimes supported the efforts of teachers who were revising district or school curricula. In contrast, the evaluation noted that, in many cases, professional development supported by the program was not part of a larger reform effort.

The national evaluation (V.5) showed that when the program supported professional development that was of sufficient duration and was part of a well-focused agenda for the improvement of teaching and learning, it could be used effectively to bring about needed changes in classroom practice. The study found that professional development supported by the Eisenhower Program was likely to lead to changes in classroom practice under the following set of conditions (which characterized training in perhaps as many as a quarter of the districts):

- High-intensity training;
- Follow-up support;
- School-level support for implementation;
- State or district mandate for implementation, such as the adoption of a new curriculum;
- Teachers' participation in planning for the professional development;
- The opportunity during training to adapt what was learned to the teacher's classroom; and
- Sufficient incentives for teachers to participate.

The evaluation also found that the impact of the program on classroom practice was mixed, and noted that, in many cases, professional development supported by the program was not linked to what happened in the classroom (V.5).

The national evaluation indicated that much of the professional development supported by the Title II Eisenhower Program during the 1988-89 school year was relatively brief, not sustained, and not part of a comprehensive plan for educational reform. In most states, allocations to districts amounted to an average of just $30 per teacher. As a result, districts typically did not support high-intensity training. The median amount of training supported by the program through districts was only 6 hours per participating teacher, although 15 percent of participants received more than 18 hours of training. Higher education projects typically offered teachers many more hours of training than did district-sponsored activities, with a median of 60 hours per participating teacher.

Subsequent Department analysis (V.1) of state performance reports for the 1993-94 school year indicated that 56 percent of activities funded through Eisenhower Mathematics and Science Program formula grants to districts lasted one day or less, compared with only 3 percent for higher education projects. Some 32 percent of Eisenhower Program formula grant activities lasted for one week or less, compared with 30 percent for higher education projects. Twelve percent of Eisenhower formula grant activities lasted more than one week, compared with 69 percent for higher education projects.

Department analysis (V.1) of state performance reports for the 1993-94 school year also indicated that the provision of training to new and emerging mathematics and science content and instructional areas was states' top priority under the Eisenhower Program. The state reports also explored the emphases for higher education projects, which most often were described as focusing on hands-on activities (27 percent of Eisenhower Program grantees) and integration of higher-order thinking skills (20 percent of Eisenhower Program grantees) as primary teaching strategies.

A study of the Eisenhower State Grant Program by the General Accounting Office (V.6) in 1992 noted that the Eisenhower Program could enhance teachers' awareness of new knowledge and teaching methods, and that it provided flexibility for districts to match training to the needs of their teachers. The GAO study (V.6) of the program concluded that "the predominantly short-term math and science training provided by the Eisenhower State Grant Program at the district level may not contribute significantly to achieving the national goal. Experts believe major changes in curriculums, instructional methods, and teacher expertise in math and science will be necessary to achieve that goal."

The three-year evaluation of the current Eisenhower Program that began in February 1997 will provide additional information on the ability of the program to meet Objective 3.

Objective 4: High-quality professional development is provided to target populations.

Analysis of States performance reports for the Eisenhower Mathematics and Science Education Program for 1993-94 (V.1) indicates that the proportion of teachers from minority populations was greater for participants in the Eisenhower Program than among the teacher population as a whole. For higher education projects, 26 percent of participants in Eisenhower-sponsored activities were minorities (12 percent black/non-Hispanic, 10 percent Hispanic, 2 percent Asian/Pacific Islander, and 2 percent American Indian/Alaska native). For formula grant activities, 19 percent of participants in Eisenhower-sponsored activities were minorities (10 percent black/non-Hispanic, 6 percent Hispanic, 2 percent Asian/Pacific Islander, and 1 percent American Indian/Alaska native). In comparison, the teacher population in public elementary and secondary schools across the nation was 13 percent minority (8 percent black/non-Hispanic, 3 percent Hispanic, 1 percent Asian/Pacific Islander, and 1 percent American Indian/Alaska native).

According to analysis of state performance reports for the Eisenhower Program in 1993-94 (V.1), 65 percent of state agencies for higher education (SAHEs) and 43 percent of state education agencies (SEAs) identified "recruiting minority teachers into mathematics and science teaching positions" as among their priorities under the program. Seventy-nine percent of SEAs and 52 percent of SAHEs identified "encouraging more participation in mathematics and science of underserved/underrepresented groups" as among their priorities under the program.

When asked how they addressed the needs of underrepresented/underserved groups in their priorities for the Eisenhower Program for the 1993-94 school year (V.1):

- 89 percent of SEAs and 83 percent of SAHEs responded that "sensitivity to the needs of underrepresented/underserved groups underlies the state's priorities"
- 85 percent of SAHEs and 55 percent of SEAs said that "the needs of underrepresented/underserved groups are a direct focus of one or more of the state's priorities"
- 67 percent of SAHEs and 58 percent of SEAs reported that "services provided were specifically geared toward teachers of students from underrepresented groups."

Objective 5: Effective management of the Eisenhower Program supports systemic reform at the federal, state, and local levels.

According to 1993-94 performance reports (V.1), SEAs reported that 76 percent of their districts integrated or coordinated Eisenhower with other resources or reform activities in 1993-94. Some district-level integration or coordination was reported with Eisenhower Program higher education projects (90 percent of states), Chapter 2 (81 percent), Chapter 1 (71 percent), local businesses (54 percent), the Eisenhower Regional Consortia (50 percent), and other programs.

SEAs and SAHEs coordinated the formula grant and higher education grant components of the Eisenhower Program with each other through integrated plans in three-fourths of the states, through joint review of grantee applications in two-thirds of the states, and through joint needs assessments in three-fifths of the states (V.I). Eighty-three percent of states also reported that the SEAs coordinated the Eisenhower Program with the Eisenhower Regional Consortia through formal meetings. Half the SEAs reported encountering major barriers to coordination, primarily lack of personnel (42 percent of states) and time constraints (30 percent). (The average number of full-time equivalent [FTE] state education agency staff that worked on the Eisenhower Program was 2.4.)

According to 1993-94 performance reports (V.1), states used a variety of means to determine needs for the Eisenhower Program: professional input from curriculum specialists (81 percent for both the formula grant program and higher education projects), review of current literature on training needs in math and science (79 and 73 percent, respectively), informal discussions with teachers or other staff (77 percent for both) formal surveys of teachers or other staff (49 and 19 percent, respectively), state results of the National Assessment of Educational Progress (NAEP) (30 and 31 percent), and other state assessments (51 and 60 percent). Two-thirds of the states reported that teachers were involved in planning the Eisenhower Program, followed by district administrators (62 percent of SEAs and 46 percent of SAHEs) and school administrators (62 and 44 percent, respectively).

Methods of evaluation varied, according to 1993-94 reports (V.1). In four-fifths of the states, districts evaluated their own Eisenhower Program, and the same proportion of SEAs gathered evaluation information by informally discussing the program with participants or project coordinators. However, two-fifths of SEAs went further in their evaluation efforts, using state or other assessment program data. SEAs reported that the evaluations provided the basis for subsequent technical assistance to districts (72 percent), for developing local plans (60 percent) or developing SEAs' Eisenhower Program plans and priorities (53 percent).

IV. Planned Studies

In February 1997 the Department began a comprehensive evaluation of the Eisenhower Professional Development Program to assess the program's contribution toward systemic educational reform, using the Eisenhower performance indicator system as a framework. In addition, during FY 1993, the Department began evaluations of the Eisenhower State Curriculum Frameworks Projects and Regional Consortiums Program. As part of the evaluations, the Department is examining the relationship of these programs with the Eisenhower Professional Development Program.

V. Sources of Information

1. Program files.

2. J. Frechtling, G. Silverstein, B. Donly, B. Gutmann, Report on a Preliminary Performance Indicator System for the Eisenhower Professional Development Program: State and Local Activities, unpublished Working Document (Rockville, MD: Westat, Inc., 1995). No ERIC Access Number.

3. J. Frechtling, L. Sharp, N. Carey, N. Vaden-Kiernan, Teacher Enhancement Program: A Perspective on the Last Four Decades, (Arlington, VA: National Science Foundation, 1995). No ERIC Access Number.

4. J. Ruskus and J. Luczak, Best Practice in Action: A Descriptive Analysis of Exemplary Teacher Enhancement Institutes in Science and Technology (Arlington, VA: National Science Foundation, 1995). No ERIC Access Number.

5. M. Knapp, A. Zucker, N. Adelman, M. St. John, The Eisenhower Mathematics and Science Education Program: An Enabling Resource for Reform (Washington, DC: SRI International and Policy Studies Associates, 1991). ERIC Access Number ED335225.

6. U.S. General Accounting Office (GAO), The Eisenhower Math and Science State Grant Program: Report to the Chairman, Subcommittee on Elementary, Secondary, and Vocational Education, Committee on Education and Labor, House of Representatives (Washington, DC: Author, November 1992). ERIC Access Number ED355115.

VI. Contacts for Further Information

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Magnet Schools Assistance Program
(CFDA No. 84.165)

I. Legislation

Title III of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3021-3032) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$75,000,000	1993	$107,985,000
1985	75,000,000	1994	107,985,000
1990	113,189,000	1995	111,519,000
1991	109,975,000	1996	95,000,000
1992	110,000,000		

III. Analysis of Program Performance

A. Goals and Objectives

The Magnet Schools Assistance Program assists in the desegregation of schools by providing support for (1) the elimination, reduction, or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority students; (2) the development and implementation of magnet schools that will assist in achieving systemic reforms and providing all students the opportunity to meet challenging state content and performance standards; (3) the development and design of innovative educational methods and practices; and (4) courses of instruction within magnet schools that will substantially strengthen students' knowledge of academic subjects and their grasp of tangible and marketable vocational skills.

B. Strategies to Achieve the Goals

Services Supported

The Magnet Schools Assistance Program (MSAP) provides three-year competitive grants to school districts operating under an approved desegregation plan to support the development or expansion of magnet school programs. Magnet schools provide special curricular programs designed to attract students of different racial backgrounds. The number of magnet schools nationally has more than doubled over the past decade, from about 1,000 in 1981-82 (V.2) to 2,400 in 1991–92 (V.1). The grants support more than 400 magnet schools each year, about 16 percent of the nation's magnet schools.

A national study of magnet schools (Steele and Levine, 1994) found that, in 1991–92, 39 percent of districts receiving MSAP funding used that funding to start new magnet school programs, and an additional 39 percent used it to add new magnet schools to their existing programs. Other districts used their MSAP grants for program enhancement and improvement. Magnet school programs were more extensive in districts that received federal funding, with 30 percent of schools in funded

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districts being magnets, compared with 21 percent of schools in nonfunded districts. Most MSAP grantees (87 percent) continued to maintain their magnet school programs, although with some reductions in teachers and supplies, after their federal funding ended (V.1).

Steele and Levine also found that MSAP-supported magnet schools offered a wide range of distinctive programs, including programs emphasizing academic subjects such as math, science, aerospace technology, language immersion, or humanities (38 percent); instructional approaches such as basic skills, open classrooms, individualized instruction, Montessori, or enriched curricula (25 percent); career/vocational education (15 percent); gifted and talented programs (11 percent); and the arts (10 percent). MSAP-funded magnets were more likely than other magnets to offer subject-matter-oriented or career-vocational programs and less likely to provide programs focused on the arts, gifted and talented students, or a particular instructional approach (V.1).

School districts may use MSAP funds for (1) planning and promoting activities directly related to the expansion, continuation, or enhancement of academic programs and services offered at magnet schools; (2) purchasing books, materials, and equipment (including computers) that are necessary for the conduct of the magnet programs and are directly related to improving students' knowledge of math, science, history, English, foreign languages, art, or music, or improving vocational skills; and (3) paying the salaries of licensed or certified elementary and secondary school teachers in magnet schools. Steele and Levine found that recipients of MSAP funds most frequently reported using them for purchase of special equipment (100 percent of grantees) and special materials (97 percent), staff development (95 percent), hiring of teachers (93 percent), outreach (85 percent), and planning (73 percent) (V.1).

MSAP funds are targeted primarily to large urban school districts with high proportions of minority and low-income students. In 1991–92, large urban school districts enrolled 25 percent of the nation's students, but they received 82 percent of all MSAP funds. Predominantly minority districts (those in which more than 50 percent of students are minority) enrolled 30 percent of all students but received 76 percent of MSAP funds. High-poverty school districts (where more than 50 percent of students receive free or reduced-price lunches) enrolled 19 percent of all students but received 53 percent of MSAP funds. Districts receiving MSAP funds were also more likely to be large urban, predominantly minority, and high-poverty districts than were magnet districts generally (V.1).

MSAP-supported magnet schools were more likely to be whole-school dedicated magnets, where every student in the school has applied to participate in the magnet program (37 percent) than were nonfunded magnets (25 percent); MSAP-funded magnet programs were less likely to be programs within schools (37 percent) than were other magnets (51 percent) (V.1). Critics have charged that some programs within schools may segregate students of different social, economic, ethnic, and racial backgrounds by keeping students in the magnet program separate from other students in the school; whole-school approaches may be more likely to maximize contact among all groups of students in the school.

MSAP-funded districts had more extensive outreach efforts designed to encourage and facilitate student participation in magnet programs than other magnet districts. MSAP-funded districts were more likely to make group presentations, mail information to all parents in the district, and provide transportation to enable prospective students to tour the magnet schools (V.1).

Strategic Initiatives

When the MSAP was reauthorized in 1994, the purpose of the program was expanded to ensure that school districts included their magnet schools in plans for systemic reform and plans to provide all students with the opportunity to meet challenging content and performance standards. Furthermore, program information requirements were amended to specifically require applicants to address the manner and extent to which their magnet projects would increase student achievement in the instructional area(s) offered by a magnet school.

In reauthorization, the program also took steps to ensure that magnet programs do not focus on elite groups of students, by giving priority to programs that select students by methods such as lotteries, rather than through academic examinations.

C. Program Performance—Indicators of Impact and Effectiveness

Information on grantee performance is provided through annual performance reports. The Department is revising this performance reporting system to improve the quality, comparability, and usefulness of the performance information. In past years, the information available through this system was often incomplete and inconsistent across grantees. For example, Steel and Eaton found that program records for FY 1989 and FY 1991 grantees did not provide sufficient information to identify desegregation objectives consistent with the statutory goals of reducing, eliminating, or preventing minority isolation for 42 percent of the schools targeted for desegregation impact. Information was lacking either because grantee performance reports were missing or because grantees described desegregation objectives other than those in the statute (V.3). The Department is working, through revised guidance and technical assistance, to help grantees prepare more clear and comprehensive performance reports, based on a performance indicators framework.

Available information on each of the four statutory objectives of MSAP are summarized below:

Objective 1: Eliminate, reduce, or prevent minority group isolation in elementary and secondary schools with substantial proportions of minority students.

An evaluation of MSAP's impact on desegregation, based on data for FY 1989 and FY 1991 grantees, found that MSAP funds typically are used to promote desegregation within a very challenging context, that is, in schools that have high concentrations of minority students and are located in districts that are experiencing increases in minority enrollments. Fewer than half (47 percent) of the schools targeted by MSAP grantees for improvements in minority isolation were able to meet their desegregation objectives within the two-year period covered by MSAP grants at that time. However, an additional 17 percent of the targeted schools were able to demonstrate some progress toward their desegregation objectives. The study found that success in meeting the objectives of reducing, eliminating, or preventing minority isolation was strongly influenced by the demographic conditions surrounding the targeted school (V.3).

Objective 2: Support the development and design of innovative educational methods and practices.

In FY 1996 the Department awarded eight grants (totaling $3 million) to support the development and design of innovative educational methods and practices.

Objective 3: Support development and implementation of magnet schools that will assist in achieving systemic reforms and providing all students the opportunity to meet challenging state content and performance standards.

Data not available.

Objective 4: Support courses of instruction within magnet schools that will substantially strengthen students' knowledge of academic subjects and their grasp of tangible and marketable vocational skills.

Although research has not examined the specific impact of MSAP funding on student achievement, several studies of magnet schools in general (including magnets that may not have a desegregation purpose) have found positive although small impacts on student achievement:

- An analysis of data from the National Educational Longitudinal Survey (Gamoran, 1996) found that magnet schools are more effective than comprehensive public high schools at raising the proficiency of students in science, reading, and social studies; Catholic schools have a positive impact on math skills; and secular private schools offer no advantage, after controlling for preexisting differences among students (V.4).
- A study of New York City's career magnet high schools found modest gains in educational outcomes for average and low-achieving students. Students with average reading performance were less likely to drop out in the transition between middle school and high school and earned larger gains in reading scores and more credits toward graduation. Below-average readers also were less likely to drop out and more likely to pass the advanced mathematics test required for New York State Regents diploma, but they also showed greater absenteeism than students attending comprehensive schools and showed no improvement in either reading scores or graduation credits earned (V.5).

IV. Planned Studies

The Department of Education has proposed to conduct an evaluation, beginning in FY 1998, to track the effects of federally supported magnet programs on desegregation, school quality, and student achievement. The study will draw heavily from the performance indicator system being developed for the program, supplemented by in-depth analysis of student performance.

V. Sources of Information

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2. James Lowry and Associates, Survey of Magnet Schools: Analyzing a Model for Quality Integrated Education (Washington, DC: U.S. Department of Education, Office of Planning, Budget and Evaluation, 1983). ERIC access number: ED236304.

3. Lauri Steel and Marion Eaton, Reducing, Eliminating, and Preventing Minority Isolation in American Schools: The Impact of the Magnet Schools Assistance Program (Washington, DC: U.S. Department of Education, Planning and Evaluation Service, 1996). ERIC access number: ED402397.

4. Adam Gamoran, "Student Achievement in Public Magnet, Public Comprehensive, and Private City High Schools,"in Educational Evaluation and Policy Analysis 18(1), 1-18 (1996). ERIC access number: EJ525420.

5. Robert L. Crain, Amy L. Heebner, and Yiu-Pong Si, The Effectiveness of New York City's Career Magnet Schools: An Evaluation of Ninth-Grade Performance Using an Experimental Design (Berkeley, CA: National Center for Research in Vocational Education, 1992). ERIC access number: ED344064.

VI. Contacts for Further Information

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Education for Homeless Children and Youth
(CFDA No. 84.196)

I. Legislation

Title VII, Subtitle B, of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. 11431 et seq.) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1987	$ 4,600,000
1990	7,404,000
1991	7,313,000
1992	25,000,000
1993	24,800,000
1994	25,470,000
1995	28,811,000
1996	23,000,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to provide formula grants to state education agencies (SEAs) to ensure that homeless children and youth have access to a free, appropriate public education. Funds are distributed to SEAs in the same proportions as under Section 1122 of the Elementary and Secondary Education Act, except that no state receives less than $100,000, and 0.1 percent of the appropriation is allocated to the outlying areas (U.S. territories). The Secretary is authorized to transfer one percent of the appropriation for the Bureau of Indian Affairs.

B. Strategies to Achieve the Goals

Services Supported

This program provides assistance to states to (1) establish or designate an Office of Coordinator of Education of Homeless Children and Youth; (2) prepare and carry out a state plan for the education of homeless children and youth; (3) develop and implement programs for school personnel to heighten awareness of the specific problems of homeless children and youth; (4) provide activities for and services to homeless children and youth that enable them to enroll in, attend, and achieve success in school; and (5) award subgrants to local education agencies to facilitate the enrollment, attendance, and success of homeless children and youth in schools.

Each state may reserve up to five percent of its allocation, or an amount equal to its 1990 allocation, whichever is greater, to conduct authorized state-level activities. The remainder is awarded to local districts.

A large percentage of state grant funds are used for subgrants to districts (V.1, V.2). States awarded an average of 71 percent of their McKinney Act grant funds for 1993–94 to local education agencies (LEAs); subgrant funds went to three percent of LEAs nationwide, the majority (51 percent) to urban LEAs (V.2).

Subgrants support a variety of activities, including before- and after-school education projects; awareness raising and sensitivity training; coordination among local service providers; transportation to school; parental involvement; identification and school placement of homeless children; and improved access of homeless children and youth to educational programs and services (V.2).

Strategic Initiatives

The Department is developing a revised version of *Serving Homeless Children: The Responsibilities of Educators* through a contract with Policy Studies Associates. The revised booklet, entitled *Meeting the Educational Needs of Homeless Children and Youth: A Resource for Schools and Communities*, offers information to help educators, other school personnel, shelter and social services providers, and state and local policymakers better understand the needs of homeless children and youth and to ensure an appropriate education for them. The revised version includes new examples of service strategies from states, districts, and schools across the country that are serving homeless children and youth.

C. Program Performance—Indicators of Impact and Effectiveness

Evaluation Findings

In 1995 the Department published *An Evaluation of State and Local Efforts to Serve the Educational Needs of Homeless Children and Youth* (V.2), which reported findings from a study of the program conducted for the Department by Policy Studies Associates. Findings are based on a survey of state coordinators in all 50 states, the District of Columbia, Puerto Rico, and the Bureau of Indian Affairs, and site visits to six state educational agencies and eight school districts, along with an analysis of state plans submitted to the Department.

Objective: States will identify and eliminate residency laws and other laws, regulations, practices or policies that may act as a barrier to the enrollment, attendance, or success of homeless children and youth in school.

Almost all states have revised their laws, regulations, and policies to improve access to education for homeless students, and report a high level of success in identifying and eliminating barriers once posed by policies on residency and school records (V.2).

However, states and districts still struggle to provide access while meeting guardianship and immunization requirements (which raise sensitive health and safety issues) (V.2).

- To fight disease, 42 states retain immunization requirements for all students. The extent to which these states are able to enroll homeless children and youth depends largely on the effectiveness of state and local methods for providing immunizations or obtaining these records for homeless students (V.2).

- To protect children's safety and welfare (and to avoid liability), schools require a legal guardian's permission for many enrollment and education decisions. Few states set aside these requirements entirely, instead, making special allowances for homeless students. Barriers remain when children are not identified as homeless or when special allowances are not made at the district or school level (V.2).

States and districts have few resources to address transportation needs. Site visit data suggest that homeless students are rarely placed in their school of origin, particularly when it would require transportation across district lines. The McKinney program does help transport some homeless students to a school; before McKinney, some homeless students had no access to any school transportation services (V.2).

Homeless youth face extreme barriers to school access. Efforts to curb crime or ensure school safety may impede enrollment for homeless teens—for example, curfew laws make them guilty of a crime just because they have no place to go. Schools in some states refuse to admit homeless teens because of liability concerns. Unlike younger children, teens may be placed statewide, with up to six or seven moves a year disrupting learning. In terms of McKinney-funded services, few of the LEAs in the site visit sample provided instructional services to older students (V.2).

Although access to school has improved significantly for homeless students under the McKinney Act, a large proportion have difficulty gaining access to specific educational services (e.g., gifted and talented programs, Head Start). These difficulties remain despite state policies promoting such access. Some subgrantees try to ensure access to Title I (e.g., by tracking students' whereabouts), but few reported monitoring the access to other services, such as special education, limited English proficiency programs, or Head Start (V.2).

Objective: Local education agencies (LEAs) will not separate homeless children and youth from the mainstream school environment because of their homeless status.

Homeless students in different districts within the same state often have uneven access to educational services. This situation can be addressed at the state, district, and school level. State policies exempting homeless students from enrollment requirements do not eliminate barriers unless schools and districts are aware of and enforce these policies. State coordinators could help improve these situations by giving technical assistance and information on promising practices to all districts (V.2).

Objective: Homeless children and youth are taught to the same high state and local standards as other children and youth.

Family mobility may be the greatest barrier to school success for homeless students. States and districts are just beginning to explore ways to help homeless students continue making progress as they move from school to school (V.2).

Objective: States and LEAs develop strong collaborative partnerships with state and local agencies and organizations that provide services to homeless children, youth, and families, in order to provide a "continuum of care."

Housing authorities are generally unaware of the importance of considering the educational needs of homeless students when making housing placements (V.2).

IV. Planned Studies

The Department has begun a study of the program as a follow up to the 1995 evaluation, and a report is due in 1999.

V. Sources of Information

1. Program files.

2. L. Anderson, M. Janger, K. Panton, An Evaluation of State and Local Efforts to Serve the Educational Needs of Homeless Children and Youth (Washington, DC: U.S. Department of Education, 1995).

VI. Contacts for Further Information

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School Dropout Demonstration Assistance Program
(CFDA No. 84.201)

I. Legislation

Title V, Part C of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7262 et seq.)(expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1988	$23,935,000
1989	21,736,000
1990	19,945,000
1991	34,064,000
1992	40,000,000
1993	37,530,000
1994	37,730,000
1995	12,000,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

Because program appropriations ended in FY 1995, this is a close-out report on the program. The goal of the program was to reduce the number of children who do not complete their elementary and secondary education by providing federal assistance to local education agencies (LEAs), community-based organizations, and education partnerships.

B. Strategies to Achieve the Goals

Services Supported

Most of the dropout prevention projects awarded in FY 1991 for a five-year period fell into one of two models: (1) restructuring and reform projects that affect a cluster of schools (a high school and its feeder middle and elementary schools); or (2) targeted programs for at-risk youth, which include such approaches as special programs for at-risk youth in regular schools, "schools within schools," and alternative schools. As shown in table 1, grantees in each of these two categories demonstrated programs that included a set of components specified by the Department of Education and widely believed to be central to effective interventions (V.1).

Table 1
Element Implemented by Dropout Demonstration Projects, by Project Type

Element	Targeted (*N*=48)		Restructuring (*N*=7)		Field-Initiated (*N*=28)	
	Number	%	Number	%	Number	%
Parent involvement	28	58	6	86	22	79
Counseling	32	67	--	--	21	75
Social services	27	56	3	43	11	39
Challenging curriculum	26	54	7	100	12	43
Attendance monitoring	25	52	4	57	4	14
Community partnerships	23	48	--	--	13	46
Career awareness	23	48	--	--	14	50
Linkages among schools	12	25	6	86	9	32
School climate	--	--	7	100	23	82
Staff development	--	--	7	100	10	36
School autonomy	--	--	4	57	1	4
Alternative to retention	--	--	3	43	9	32

Source: The National Evaluation of the School Dropout Demonstration Assistance Program, Descriptive Report: 1991 and 1992 Grantees (Washington, DC: Policy Studies Associates, Inc., unpublished report).

C. Program Performance--Indicators of Impact and Effectiveness

Between 1991 and 1994 the Planning and Evaluation Service, in cooperation with the Office of Elementary and Secondary Education, conducted an in-depth evaluation of selected projects funded under this program during that period. The evaluation looked at how the program was implemented as well as whether the programs improved academic outcomes, such as dropout rates, attendance rates, and test scores. Sixteen targeted programs and five school-wide restructuring programs were studied at the middle- and high school levels.

Targeted Programs

Overall, many targeted projects had limited scope rather than amounting to comprehensive interventions. Projects were generally successful in creating an accepting and supportive environment, for all or part of the school day, featuring extra attention and special services (V.2).

- Some success in promoting challenging and innovative curriculum and instruction, or at least energetic traditional teaching, was observed where projects could select appropriate teachers; in other sites, classroom instruction was often undistinguished.

- Various disruptions affected some projects' ability to sustain or strengthen their interventions: fiscal crises, hiring freezes, student recruiting obstacles, and staff disagreements.

Little consistent or sustained evidence of positive effects on students' academic or affective outcomes was found relative to randomly assigned control groups. Findings of "no impact" for most of the targeted dropout prevention programs evaluated means that the demonstration programs were about as effective as existing approaches for helping high-risk students. However, findings indicate that alternative schools have potential for success in dropout prevention (V.3).

- At the middle-school level, intensive programs did improve grade promotion and reduce the rate of dropping out, but did not improve student grades or test scores. Students in high-intensity middle-school programs generally remained in the programs for the full school day. Their classes were smaller than those of regular middle-school classes and they were given accelerated curricula designed to help them catch up to their age peers.

- At the high school level, GED programs helped students obtain GED certificates. Like alternative high schools, GED programs provided access to counseling, personalized attention, and linkages with social services. Unlike alternative high schools, GED programs were smaller, typically enrolling no more than 100 students at a time, and shorter, leading to GED certificates within

9 to 24 months. Even though GED programs had some effect, two out of three students who enrolled eventually dropped out without obtaining a GED.

- Alternative high schools did not reduce the dropout rate or increase the rate of high school completion, even though the programs offered innovative and comprehensive services to students and were generally well implemented. One explanation is that many control group members actively sought other educational options, including the regular high schools.

Schoolwide Restructuring Programs

Restructuring initiatives progressed best where they were an integral part of, or at least consistent with, a broad district or state vision for school change. Most of the restructuring efforts faded or changed direction over several years, usually because of fiscal problems or turnover in district or school leadership (V.2).

- Although all restructuring projects envisioned broad systemic change, they also devoted substantial resources to supporting and strengthening services to students to response in urgent and immediate needs.

No consistently positive effects were found on outcomes for students enrolled in restructuring schools relative to those for students in matched comparison schools (V.4).

- Despite efforts to improve school climate and autonomy and promote professional development, restructuring projects had negligible effects on school climate, staff autonomy, or the extent of in-service professional development as perceived by teachers.

IV. Planned Studies

None.

V. Sources of Information

1. The National Evaluation of the School Dropout Demonstration Assistance Program, Descriptive Report: 1991 and 1992 Grantees (Washington, DC: Policy Studies Associates, Inc., unpublished report).

2. Helping Kids Succeed: Implementation of the School Dropout Demonstration Assistance Program (Princeton, N.J.: Mathematica Policy Research, Inc., forthcoming).

3. Impacts of Dropout Prevention Programs (Princeton, NJ: Mathematica Policy Research, Inc., forthcoming).

4. Impacts of School Restructuring Initiatives (Princeton, NJ: Mathematica Policy Research, Inc., forthcoming).

VI. Contacts for Further Information

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Foreign Language Assistance
(CFDA No. 84.293; 84.294)

I. Legislation

Title VII, Part B of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7511) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1991	$ 4,880,000
1992	10,000,000
1993	10,912,000
1994	10,912,000
1995	10,912,000
1996	10,092,000 1/

1/ Appropriated in the Bilingual and Immigrant Education Account.

III. Analysis of Program Performance

A. Goals and Objectives

The Foreign Language Assistance Program provides grants, on a competitive basis, to state education agencies (SEAs) or local education agencies (LEAs) to pay the federal share of the cost of innovative model programs providing for the establishment, improvement, or expansion of foreign language study for elementary and secondary school students.

B. Strategies to Achieve the Goals

SEAs are eligible to apply for funds under this program. In awarding grants under this program to LEAs, the Secretary supports projects that show the promise of being continued beyond their project period, demonstrate approaches that can be disseminated and duplicated in other local education agencies, and may include a professional development component. In awarding grants under this program to SEAs, the Secretary supports projects that promote systemic approaches to improving foreign language learning in the state.

In recent years, competitive priority has been given, for both SEAs and LEAs, to applicants that propose to establish, improve, or expand foreign language learning in the elementary grades and that focus on any of the following languages: Japanese, Chinese, Russian, Arabic, or Korean. The Department made 64 new awards to applicants proposing programs that included those languages in 1996.

The federal share for each project is established at 50 percent, but the Secretary may waive this requirement for any local education agency that the Secretary determines does not have adequate resources to pay the nonfederal share.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Harpreet Sandhu, (202) 205-9808
Program Studies:	Tracy Rimdzius, (202) 401-1958

Training in Early Childhood Education and Violence Counseling (CFDA No. 84.266)

I. Legislation

Section 596 of the Higher Education Act of 1965, as amended (20 U.S.C. 1117) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1993	$ 4,960,000
1994	14,000,000
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program was to provide grants to institutions of higher education to enable them to establish innovative programs to recruit and train students for careers in one or both of the following: (1) early childhood development and care, or preschool programs; and (2) counseling to young children from birth to six years of age who have been affected by violence and to adults who work with these children. Program appropriations ended in FY 1994, and this is a close-out report on the program.

B. Strategies to Achieve the Goals

Services Supported

The program made a total of 18 grants to various institutions of higher education.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Robert Alexander, (202) 260-0994
Program Studies:	Joanne Wiggins, (202) 401-1958

Freely Associated States Educational Grant Program
(CFDA No. 84.256A)

I. Legislation

Section 1121(b)(2) of the amended Title I of the Elementary and Secondary Education Act of 1965 (ESEA) authorizes a program of discretionary grants to local education agencies (LEAs) in the Marshall Islands, Micronesia, and Palau. Section 1121(b)(2) reserves a set-aside of $5,000,000 from the amounts made available under subsection (a) in each fiscal year.

A special requirement of this program is that the Pacific Region Educational Laboratory (PREL) in Honolulu, Hawaii, conduct the competition for grants under this program and make grant award recommendations to the Secretary.

II. Funding History

Fiscal Year	Mandated Set-aside
1995	$5,000,000
1996	5,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the Freely Associated States Educational Grant Program is to provide financial assistance in the form of competitive grants to LEAs in the Marshall Islands, Micronesia, and Palau to support projects that are consistent with the purposes of the reauthorized ESEA and activities that will enable students to make progress toward achieving challenging academic standards and high levels of educational performance. Grant funds awarded under this program may be used to provide direct educational services, such as teacher training, curriculum development, instructional materials, or general school improvement and reform.

B. Strategies to Achieve the Goals

The Freely Associated States Educational Grants Program supports projects and activities that are designed to improve student achievement and the quality of education. The Secretary makes awards to those projects that clearly and effectively address the criteria outlined in the application, and that demonstrate the educational need in the area to be served and the relationship of the activity to the achievement of the National Educational Goals.

C. Program Performance—Indicators of Impact and Effectiveness

One of the criteria for making awards under this program is the high quality of an evaluation plan. All projects are required to submit evidence of progress toward goals and objectives in an annual performance report.

The Department is using information from these reports to monitor progress toward program objectives and identify needs for technical assistance. The Department has not developed performance indicators for this program.

IV. Sources of Information

1. Non-Regulatory Guidance for the Freely Associated States Educational Grants Program.

2. Program Files

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations: Zulla Toney, (202) 260-2551

Program Studies: Barbara J. Coates, (202) 401-1958

Allen J. Ellender Fellowship Program
(CFDA No. 84.998.K)

I. Legislation

Title X, Part G, Sections 10701-10742, of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994 (20 U.S.C. 8161-8202) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1990	$3,703,000
1991	4,101,000
1992	4,300,000
1993	4,223,000
1994	4,223,000
1995	3,000,000
1996	1,500,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to make a grant to the Close Up Foundation of Washington, D.C., for financial assistance to economically disadvantaged middle- and secondary-school students and their teachers and economically disadvantaged older Americans, recent immigrants, and students of migrant parents, to increase their understanding of the federal government. Special effort is to be made to ensure the participation of students from rural areas and small towns, as well as from urban areas. Special consideration is given to participation by students with special educational needs, including students with disabilities, ethnic minority students, and gifted and talented students.

B. Strategies to Achieve the Goals

Services Supported

The program targets economically disadvantaged middle- and secondary-school students and their teachers, economically disadvantaged older Americans, and recent immigrants.

In the 1995–96 school year, the Close Up Foundation awarded Ellender fellowships through all of its Washington-based programs for students, teachers, administrators, recent immigrants, and students of migrant parents to approximately 26,800 participants to enable them to come to

Washington, D.C., for a first-hand look at the operations of the three branches of the U.S. Government (V.1).

The programs serve different populations, but are similar in structure. The program week in Washington consists of question-and-answer seminars with outside speakers, study visits to historical and cultural sites, workshops with Close Up instructors, and meetings with congressional representatives, senators, or staffers.

C. Program Performance—Indicators of Impact and Effectiveness

Evaluation Findings

An evaluation of the Allen J. Ellender Fellowship program conducted in 1992 (V.2) found that in operating the Washington Program for High School Students and Educators through the late 1980s, the Close Up Foundation spent twice as much of the federal Ellender funds on teachers as on disadvantaged students, and more teachers than students received fellowships (V.2).

As a result, the legislation now requires that not more than 30 percent of funds may be used for teachers associated with students participating in the program. Since the enactment of this 30 percent limitation, most teacher fellowships are given to teachers in "at-risk" schools in both urban and rural areas (V.1).

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. Evaluation of the Allen J. Ellender Fellowship Program (Rockville, MD: Westat, Inc., 1992).

VI. Contacts for Further Information

Program Operations:	Shelton Allen, (202) 260-2487
Program Studies:	Joanne Wiggins, (202) 401-1958

Office of Bilingual Education and Minority Languages Affairs

Bilingual Education--
Discretionary Grants for Instructional Services--Subpart 1
(CFDA No. 84.003)

I. Legislation

The Bilingual Education Capacity and Demonstration Grants (Title VII, Part A, Subpart 1, of the Elementary and Secondary Education Act), as amended (20 U.S.C. 7421-7434) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$7,500,000	1987	$99,161,000
1979	21,250,000	1988	101,198,000
1975	53,370,000	1989	110,761,000
1980	115,863,000	1990	115,779,000
1981	107,017,000	1991	121,038,000
1982	86,579,000	1992	147,407,000
1983	86,526,000	1993	149,696,000
1984	89,567,000	1994	152,728,000
1985	95,099,000	1995	117,190,000
1986	91,010,000	1996	117,100,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed (1) to help local education agencies (LEAs), institutions of higher education, and community-based organizations, through competitive grants, provide high-quality instruction through bilingual education or special alternative instruction programs to children and youth with limited English proficiency (LEP); and (2) to help such children and youth develop proficiency in English and, to the extent possible, their native language, and meet the same challenging state content and performance standards in other curricular areas that all other children and youth are expected to do.

B. Strategies to Achieve the Goals

Services Supported

Four types of grants are authorized under this program:

- *Program Development and Implementation Grants* enable LEAs (or institutions of higher education, community-based organizations with or without LEA approval, in collaboration, or a state education agency) to develop and implement new comprehensive, coherent, and successful bilingual education or special alternative instructional programs for LEP students, including programs of early childhood education, K-12 education, gifted and talented education, and vocational and applied technology education.

- *Program Enhancement Project Grants* enable LEAs (or institutions of higher education, community-based organizations in collaboration with or with LEA approval, or an SEA) to carry out highly focused, innovative, locally designed projects to expand or enhance existing bilingual education or special alternative instructional programs for LEP students.

- *Comprehensive School Grants* provide financial assistance to LEAs (or institutions of higher education, community-based organizations, or an SEA) to implement within an individual school schoolwide bilingual education programs or special alternative instruction programs for reforming, restructuring, and upgrading all relevant programs and operations that serve all or virtually all LEP children and youth in schools with significant concentrations of such students.

- *Systemwide Improvement Grants* provide financial assistance to LEAs (or institutions of higher education, community-based organizations, or an SEA) to implement districtwide bilingual education programs or special alternative instructional programs to improve, reform and upgrade relevant programs and operations, that serve a significant number of LEP children and youth in LEAs that have significant concentrations of such children or youth.

Strategic Initiatives

- Implement grants that support linguistic and academic development of LEP students, with sustained professional development and emphasis on program features that allow grantees to carry on activities after the grant expires. Activities include onsite monitoring of grant sites to ensure high-quality outcomes.

- Coordinate services with other federal programs (1) to serve the maximum number of students with the highest-quality instruction, (2) to strengthen demographic data elements for use by federal programs in regular data collection, and (3) to provide high-quality data needed for accountability and improvement of educational outcomes for LEP students.

- Provide improved customer support by (1) creating a single point of contact with the Office of Bilingual Education and Minority Language Affairs (OBEMLA) in order to ease the administrative burden on grantees, (2) increasing opportunities for grantees to share lessons with each other through Internet "listserve" and other methods, and (3) providing intensive technical assistance for school reform, including dissemination of comprehensive technical assistance criteria for effective programs and the dissemination activities of the National Clearinghouse on Bilingual Education.

C. Program Performance—Indicators of Impact and Effectiveness

Objectives	Indicators
Improve English proficiency and academic achievement of students served by Title VII.	• **English proficiency.** Students in the program will demonstrate continuous and educationally significant progress on oral or written English proficiency measures each year. • **Other academic achievement.** Students in the program will demonstrate continuous and educationally significant progress on appropriate academic achievement measures of language arts, reading, and math each year. • **Success in regular classrooms.** By FY 2000 sixth-graders who were identified as LEP in first grade and have been in the program for five years or have successfully exited from the program will perform at a level comparable to that at which other similar students perform. • **Low retention.** By FY 1998 LEP students in Title VII programs will be retained in grade at rates comparable to those for similar non-LEP students.
Ensure that LEP students nationwide achieve to high standards (part of Department-wide effort).	• **Student achievement.** Between FY 1997 and FY 1998, the proportion of LEP and former LEP students nationwide who meet or exceed basic and proficient levels on NAEP reading and math will increase. • **Student achievement.** By FY 1999 the annual dropout rate for LEP students will decline by 10 percent over the rate for FY 1996. • **Student achievement.** By FY 1999 LEP students in Title I, Migrant Education and Indian Education, will perform at a level comparable to that of other similar students in relevant programs. • **Inclusion in state and local plans.** By FY 1997 all new state and local consolidated plans for federal programs will include LEP students in framework of standards, assessment, and accountability. • **Participation in other programs.** By FY 1998 LEP students will be appropriately served by all federal programs.

Build capacity of schools in the program to serve LEP students.	• **Programs meeting standards.** By FY 1998, 80 percent of students in the program will be in classes aligned with state standards. • **Comprehensive programs.** By FY 1998, 75 percent of programs will be comprehensive, integrated with the mainstream of school and district. • **Teacher training.** By FY 1999, 80 percent of teachers in OBEMLA programs will receive high-quality preservice or in-service training tailored to meet needs of LEP students. • **Assessments linked to standards.** By FY 1999, 50 percent of projects will implement high-quality assessments aligned to high standards tailored to LEP students. • **Effect of federal support.** By FY 1998, 80 percent of grantees will maintain program activities after federal funding ends.
Ensure that the Office of Bilingual Education and Minority Languages Affairs (OBEMLA) administers its programs in an efficient and customer service-oriented fashion.	• **Customer satisfaction.** By FY 1998, a majority of OBEMLA customers will express satisfaction with administration of Title VII programs. • **Streamlining.** Between FY 1996 and FY 1997 the number of steps necessary to award discretionary grants will diminish by 30 percent.

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IV. Planned Studies

- The National Academy of Sciences' Committee on Developing a Research Agenda on the Education of Limited English Proficient and Bilingual Students reviewed the wide range of research on linguistic, cognitive, and social development of language-minority children. It calls for moving beyond a narrow focus on language of instruction to develop areas of knowledge firmly grounded in research on second language acquisition and learning. Priority areas for research include content area learning, second language English literacy, intergroup relations, and social context of learning. The committee noted the need for greater inclusion of LEP students in national data bases, including coordination of these activities with all relevant parts of the Department.

- The Schools and Staffing Surveys (SASS) find that many of our nation's schools serve LEP students. Seventy-six percent of public schools with LEP student enrollment provide English as a second language (ESL) programs, and 36 percent have bilingual education programs. Bilingual education programs are generally implemented in schools with higher concentrations of LEP students. About one-third of public schools (which enroll 71 percent of LEP students) provide both ESL and bilingual education courses. Some 42 percent of all public school teachers have at least one LEP student in their classes; only 7 percent of these teachers have classes in which over 50 percent of their students are LEP. About 30 percent of public school teachers instructing LEP students have received training for teaching LEP students, but fewer than 3 percent of teachers with LEP students have earned a degree in ESL or bilingual education.

- ESL and particularly bilingual programs are far less commonly found in secondary schools. LEP youth in the National Education Longitudinal Study (NELS88) were much less likely to have followed a rigorous academic or academic track than native English youth. By 1992, students who had been identified as LEP in 1988 were more than four times as likely as native speakers of English to be out of the normal age-grade sequence (17 percent of LEP youth compared with 4 percent of other youth). Only 4 percent of LEP eighth graders said they did not plan to complete high school, but by four years later nearly half of the LEP students had left school without a diploma. National studies such as Prospects, studies based on local school system data, and syntheses of research (Collier; National Research Council) find that LEP students develop proficiency in understanding and speaking English more quickly than in other areas such as reading or writing English. Students, on average, require four to seven years to develop full proficiency in English, but the time varies substantially with the individual student's language and educational background.

- Research on effective educational practices and their adaptations for LEP students and analysis of the issues that affect LEP students' academic success have identified the importance of providing substantive lessons in core subjects, actively engaging students in learning, using comprehensible inputs to present lesson content, and offering social environments conducive to learning. Teacher recruitment and ongoing professional development are keys to improving educational outcomes of LEP students (Leighton et al.).

Planned or ongoing studies of Subpart 1 programs are:

- The Prospects final report on LEP students, which is being completed.
- The Benchmark longitudinal study of systemwide bilingual education grants, including information for participating elementary, middle, and high schools.
- OBEMLA analyses of data reported by local projects (1997 and 1999).
- Annual Title VII surveys of SEAs.
- Office of Elementary and Secondary Education and OBEMLA annual review of state and local plans submitted for participation in national education programs.
- OBEMLA analysis of a sample of Title VII grants (1998).
- National Assessment of Educational Progress (NAEP) studies of inclusion of LEP students in NAEP assessments (1997).

V. Sources of Information

1. Program files.
2. Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity: First Year Report on Language Minority and Limited English Proficient Students (Washington, DC: U.S. Department of Education, 1995).
3. Model Strategies in Bilingual Education: Family Literacy and Parent Involvement (Washington, DC: U.S. Department of Education, 1993).
4. Model Strategies in Bilingual Education: Professional Development (Washington, DC: U.S. Department of Education, 1995).
5. Review of the Literature Relevant to the Education of Secondary School Students (Grades 9-12) Who Are Limited in English Proficiency (Washington, DC: U.S. Department of Education, 1995).
6. A Descriptive Study of the ESEA Title VII Educational Services Provided for Secondary School Limited English Proficient Students (Washington, DC: U.S. Department of Education, 1996).
7. National Research Council, Improving Schooling for Language Minority Children: A Research Agenda (Washington, DC: National Academy Press, 1997).
8. U.S. Department of Education, National Center for Education Statistics, A Profile of Policies and Practices for Limited English Proficient Students: Screening Methods, Program Support and Teacher Training [SASS 1993-94], NCES 97-472.

9. Frank J. Bennici William Strang, An Analysis of Language Minority and Limited English Proficient Students from NELS:88. (Washington, DC: U.S. Department of Education, Office of Bilingual Education and Minority Languages Affairs, Special Issues Analysis Center, 1995.)

10. Marc Moss and Michael Puma, Prospects: First Year Report on Language Minority and Limited English Proficient Students, for the Planning and Evaluation Service, U.S. Department of Education, 1995.

11. Virginia P. Collier, "Acquiring a Second Language for School" Directions in Language and Education, vol. 1, no. 4 (Washington, DC: U.S. Department of Education, Office of Bilingual Education and Minority Languages Affairs, National Clearinghouse for Bilingual Education, Fall 1995).

12. Mary S. Leighton, Amy M. Hightower, Pamela G. Wrigley, Model Strategies in Bilingual Education: Professional Development, for the Planning and Evaluation Service, U.S. Department of Education, 1995.

VI. Contacts for Further Information

Program Operations:	John Ovard, (202) 205-5576
Program Studies:	Jeffery Rodamar, (202) 401-1958

Bilingual Education--Research, Evaluation, and Dissemination--Subpart 2
(CFDA No. 84.003)

I. Legislation

Bilingual Education Research, Evaluation, and Dissemination (Title VII, Part A, Subpart 2 of the Elementary and Secondary Education Act), as amended (20 U.S.C. 7451-7456) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$ 7,830,000	1988	$ 9,928,000
1980	20,775,000	1989	10,772,000
1981	18,375,000	1990	10,838,000
1982	18,957,000	1991	11,632,000
1983	16,557,000	1992	12,000,000
1984	13,502,000	1993	10,879,000
1985	10,600,000	1994	12,004,000
1986	9,991,000	1995	14,330,000
1987	10,370,000	1996	9,700,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to support activities related to data collection, dissemination, research, and ongoing evaluation in order to improve bilingual education and special alternative instructional programs for children and youth with limited English proficiency (LEP).

B. Strategies to Achieve the Goals

Services Supported

Services in the following five areas are funded by this program:

- *Research activities* conducted under this program have practical application to teachers, counselors, paraprofessionals, school administrators, parents, and others involved in improving the education of LEP students and their families. These activities may include research on effective instructional practices for multilingual classes and development of a common definition of LEP for purposes of national data collection. At least 5 percent of funds are available for field-initiated research conducted by current or recent recipients of grants under Subpart 1 or 2 of Part A of Title VII.

- *Academic Excellence Awards* provide support for bilingual or special alternative instructional programs and professional development programs that demonstrate promise of helping LEP children and youth to meet challenging state standards.

- *State Grant Program* provides up to 5 percent of the total amount awarded to LEAs under Subpart 1 of Part A of Title VII within the state to help LEAs in the state with the design program, build capacity, assess student performance and evaluate the program, and collect data on the state's LEP population and the educational programs and services available to them.

- *The National Clearinghouse for Bilingual Education* collects, analyzes, synthesizes, and nationally disseminates information about bilingual education and related programs.

- *Grants for the development, publication, and dissemination of high-quality instructional materials in American Indian and native Hawaiian languages and the languages of outlying areas (U.S. territories)* give priority to languages indigenous to the U.S. or the outlying areas.

Strategic Initiatives

See initiatives under Subpart 1(Chapter 201).

C. Program Performance—Indicators of Impact and Effectiveness

See program performance objectives and indicators under Subpart 1 (Chapter 201).

IV. Planned Studies

See ongoing and planned studies under Subpart 1 (Chapter 201).

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	John Ovard, (202) 205-5576
Program Studies:	Jeffery Rodamar, (202) 401-1958

Bilingual Education--
Professional Development--Subpart 3
(CFDA No. 84.003)

I. Legislation

Bilingual Education Professional Development (Title VII, Part A, Subpart 3, of the Elementary and Secondary Education Act), as amended (20 U.S.C. 7471-7491) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$21,000,000	1988	$35,447,000
1980	30,325,000	1989	30,413,000
1981	32,075,000	1990	31,913,000
1982	28,836,000	1991	36,065,000
1983	31,288,000	1992	36,000,000
1984	32,610,000	1993	35,708,000
1985	33,566,000	1994	36,431,000
1986	32,123,000	1995	25,180,000
1987	33,546,000	1996	1,100,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to help prepare educators to improve the educational services for children and youth with limited English proficiency (LEP) by supporting professional development programs and dissemination of information on appropriate instructional practices for such children and youth.

B. Strategies to Achieve the Goals

Services Supported

- *Training for All Teachers Program* provides for incorporation of courses and curricula on appropriate and effective instructional and assessment methodologies, strategies, and resources specific to LEP students into preservice and in–service professional development programs for teachers, public services personnel, administrators, and other educational personnel. Grants are provided to institutions of higher education, local education agencies (LEAs), state education agencies (SEAs) or nonprofit organizations that have entered into consortia arrangements with such an institution or agency.

- *Bilingual Education Teachers and Personnel Grants* provide preservice and in–service professional development for bilingual education teachers, administrators, pupil service personnel, and other educational personnel. In addition, this program supports national professional development institutes that help schools or departments of education in institutions of higher education improve the quality of professional development programs for personnel serving or preparing to serve LEP children and youth.

- *Bilingual Education Career Ladder Program* upgrades the qualifications and skills of noncertified educational personnel (especially educational paraprofessionals) to meet high professional standards, including certification and licensure as bilingual education teachers and other educational personnel who serve LEP students. This may include recruitment of secondary school students to train as bilingual education teachers and other educational personnel. Grants are made to institutions of higher education applying in consortia with LEAs or SEAs, which may include consortia with community-based organizations or professional educational organizations.

- *Graduate Fellowships in Bilingual Education* program provide support for master's, doctoral, and postdoctoral study related to instruction of LEP children and youth in areas such as teacher training, program administration, research and evaluation, and curriculum development, and for support of dissertation research related to such study.

Strategic Initiatives

See initiatives under Subpart 1 (Chapter 201).

C. Program Performance—Indicators of Impact and Effectiveness

See program performance indicators listed under Subpart 1 (Chapter 201).

IV. Planned Studies

See studies listed under Subpart 1 (Chapter 201).

V. Sources of Information

1. Program files.

2. Biennial Evaluation Report, Fiscal Years 1993–1994 (Washington, DC: U.S. Department of Education, 1994).

VI. Contacts for Further Information

Program Operations:	John Ovard, (202) 205-5576
Program Studies:	Jeffery Rodamar, (202) 401-1958

Emergency Immigrant Education Program
(CFDA No. 84.162)

I. Legislation

The Emergency Immigrant Education Act (EIEA), (Title VII, Part C of the Elementary and Secondary Education Act), as amended (20 U.S.C. 7541-7549) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$30,000,000	1991	$29,276,619
1985	30,000,000	1992	30,000,000
1986	28,710,000	1993	29,462,000
1987	30,000,000	1994	38,992,000
1988	29,969,000*	1995	50,000,000
1989	29,640,000	1996	50,000,000
1990	30,144,000		

*Includes a $1,247,000 reappropriation to the state of Texas.

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to help state education agencies (SEAs) and local education agencies (LEAs) provide supplementary educational services and offset costs for immigrant children enrolled in elementary and secondary public and nonpublic schools. The eligible recipients are the states, which then distribute the funds to LEAs within the state according to the number of immigrant children.

B. Strategies to Achieve the Goals

Services Supported

The Emergency Immigrant Education Program makes grants to SEAs and LEAs to enhance their instructional opportunities for immigrant children, including family literacy and parent outreach, salaries of personnel that are trained or being trained to serve immigrant children, tutorials and mentoring, the identification and acquisition of curricular materials, and the costs of basic instructional services that are "directly attributable to the presence of eligible children" (i.e., supplies, overhead costs, construction costs, and acquisition or rental of space).

C. Program Performance—Indicators of Impact and Effectiveness

The number of immigrant children served by the program has more than doubled since 1984. Immigrant children make up about 5 percent of the country's school age–population (ages 5–17).

About 85 percent (564,000) of the identified eligible immigrant students were receiving EIEA-funded services. EIEA grants were $36 per participant in 1993–94. Program indicators are being developed.

IV. Planned Studies

No program evaluations are currently planned. Biennial reports from SEAs on expenditure of program funds by LEAs provide the basis for a biennial program report to Congress.

V. Sources of Information

1. Program files.

2. Biennial Report to Congress on the Emergency Immigrant Education Program (Washington, DC: U.S. Department of Education, September 3, 1996).

VI. Contacts for Further Information

Program Operations:	Harpreet Sandhu, (202) 205-9808
Program Studies:	Jeffery Rodamar, (202) 401-1958

Office of Special Education and Rehabilitative Services

Overview
Education, Training, and Services for Individuals with Disabilities

This overview describes the Department's programs for adults who need special training or services to learn or to work in the labor market or to live independently. These programs are coordinated by the Office of Special Education and Rehabilitative Services through the Rehabilitation Services Administration (RSA).

For the past 76 years, a variety of programs and providers have given services and job training to individuals with disabilities who want to work or whose severe disability makes gainful employment extremely difficult, but for whom independent living goals are feasible. The Rehabilitation Act authorizes 15 programs for these purposes, the largest of which is the Vocational Rehabilitation (VR) State Grants Program. In FY 1996, the VR State Grants Program provided $2.1 billion worth of services, technology, and training through 82 designated state VR agencies to help prepare persons with disabilities for employment. In addition to the Rehabilitation Act, several other laws authorize programs for persons who are blind or deaf, and for technological assistance for persons with disabilities.

I. VR State Grants Program

VR services are provided in accordance with each person's needs, abilities, priorities, resources, and informed choices so that the person may prepare for gainful employment. If a state VR agency is unable to serve all eligible persons with the funds available, it must establish an order of selection for services, first serving those with the most severe disabilities, then those with severe disabilities, and only then those with nonsevere disabilities.

State agencies coordinate the provision of VR services either through one agency to serve all individuals with disabilities, or through a general agency and a separate agency for individuals who are blind or visually impaired. VR counselors work with the individuals to set their own goals and to make a plan to meet those goals. Some people use VR funds to purchase services from local providers such as community-based rehabilitation programs, traditional rehabilitation facilities such as those run by the local affiliates of national organizations, hospitals, physicians, colleges, and technical schools. Federal funds are distributed to states by formula, with each state providing a matching share of 21.3 percent.

Since it began operating in 1921, the VR program has rehabilitated 9.2 million people. In FY 1996 state agencies served about 1,225,000 people, a 30 percent increase from FY 1992, the year before changes in the Rehabilitation Act increased eligibility. Changes in the Rehabilitation Act in 1973 had shifted the emphasis to serving people with severe disabilities, and the yearly total of persons with employment outcomes consequently dropped from 361,138 in 1974 to 191,890 in 1992. The number has since climbed again, to 213,334 in FY 1996, although the rehabilitation rate (the proportion of all individuals who received services and who obtained an employment outcome) gradually decreased from 68.3 percent in 1989 to 60.4 percent in FY 1995. At the same time, the proportion of individuals with severe disabilities who obtained an employment outcome climbed from 69.7 percent in FY 1992 to 77.6 percent in FY 1996.

About half of VR recipients are between the ages of 25 and 44, and about 40 percent either have orthopedic impairments or suffer from mental illness. More than half receive diagnostic and

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evaluation services, 27 percent receive training, 18 percent each receive restoration services and another 17 percent receive transportation services. Fewer than 17 percent support themselves prior to applying for VR services; the average weekly wage for an individual who obtained employment in FY 1995 after receiving services was $215, an increase of $173 over earnings at the time of application. The proportion of people with any earned income rose from 22 percent at the time of application to 92 percent at closure. The average cost of services provided to these people was $3,201. More than half found jobs in the industrial or service sectors. The chart at the end of this overview highlights some of the characteristics of VR recipients, the services they receive, and their employment outcomes.

II. Other RSA Programs

RSA also oversees a number of smaller programs targeted at specific populations or specific needs. There are separate programs specifically designed to serve migratory agricultural workers and seasonal farm workers with disabilities and their families and American Indians living on reservations, although both populations can also receive services from the State Grants Program. Many small demonstration projects serve special disability populations, and a number of ongoing demonstration projects were designed to heighten people's choice in the rehabilitation process.

Three independent living programs provide nonvocational services for individuals who have disabilities that make gainful employment extremely difficult but for whom independent living goals are reasonable. The Centers for Independent Living program provides services through consumer-controlled, community-based, cross-disability, nonresidential, private, nonprofit agencies operated by individuals with significant disabilities to foster a philosophy of independent living. The program for older blind individuals provides services to help correct blindness or visual impairment, and to help people adjust to blindness by becoming better able to care for individual needs. The program also offers Braille instruction, reader services, transportation, and orientation and mobility services.

Other RSA programs assist and protect people with disabilities, train VR personnel, work closely with industry to find jobs for individuals with disabilities, or concentrate on providing supported employment for individuals with the most severe disabilities. Through these and other programs, RSA provides a range of services to meet the employment and independent living goals of individuals with disabilities in all communities.

Chart 1. Characteristics and Service of VR Recipients Whose Cases Closed in FY 1995

Age at application (avg=33.8 years)	
under 20	16.3%
20-24	12.0
25-34	27.0
35-44	25.5
45-54	2.9
55 and over	6.3
Major Disabling Conditions	
Orthopedic impairment	21.1%
Mental illness	19.5
Substance abuse	11.2
All other conditions	10.9
Mental retardation	9.5
Learning disabilities	7.9
Visual impairments	5.6
Hearing impairments	4.4
Primary Source of Income at Application	
Family and friends	41.9%
Public assistance (federal & nonfederal)	17.5
Self	16.6
SSDI benefits	7.4
Other sources	11.3
Type of Services Provided	
Diagnostic and evaluation	55.3%
Training	27.0
Restoration	17.7
Transportation	17.3
Job referral	16.3
Other services	15.5
Job placement	12.7
Maintenance	10.6
Occupations at Closure for Rehabilitants	
Industrial	26.4%
Service	25.0
Professional	15.6
Clerical	14.0
Homemaking	7.6
Sales	6.0
Agricultural	2.3

Source: RSA case service report system.

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Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools
(CDFA No. 84.009)

I. Legislation

This program was eliminated by the Improving America's Schools Act of 1994, which amended the Elementary and Secondary Education Act of 1965, Title I, Chapter 1, Part D, Subpart 2.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$ 15,917,000	1991	$148,859,000
1970	37,482,000	1992	143,000,000
1975	87,864,000	1993	126,394,000
1980	45,000,000	1994	116,878,000
1985	150,170,000	1995	0
1990	146,389,000	1996	0

For FY 1995, Congress provided funds under the Individuals with Disabilities Education Act (IDEA) Grants to States (Part B) and Grants for Infants and Families (Part H) programs to offset the termination of the Chapter 1 Handicapped Program because, beginning that year, children previously served under the Chapter 1 Handicapped Program have been served under these other IDEA programs. States are required to maintain 1994 funding levels for state agencies that received funds under the Chapter 1 Handicapped Program using their set-aside funds under the Grants to States Program unless there are reductions in the number of children with disabilities served by those agencies.

III. Analysis of Program Performance

A. Goals and Objectives

The Improving America's Schools Act of 1994, which reauthorized the Elementary and Secondary Education Act of 1965 (ESEA), eliminated the ESEA Chapter 1 Handicapped program. This program overlapped with programs authorized under the Individuals with Disabilities Education Act (IDEA), that also serve children with disabilities. Fiscal year 1994 was the last year of funding for the Handicapped Program; this is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

Program files for funding history.

VI. Contacts for Further Information

Program Operations: William Wolf, (202) 205-5387

Program Studies: Susan Thompson-Hoffman, (202) 401-0091

State Grant Program for Children with Disabilities
(CFDA No. 84.027)

I. Legislation

The Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B (20 U.S.C. 1411-1420) (expired September 30, 1995; operating under the authorization of the appropriations acts).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 2,500,000	1987	$1,338,000,000
1970	29,190,000	1988	1,431,737,000
1975	100,000,000	1989	1,475,449,000
1980	874,500,000	1990	1,542,610,000
1981	874,500,000	1991	1,854,186,000
1982	931,008,000	1992	1,976,095,000
1983	1,017,900,000	1993	2,052,728,000
1984	1,068,875,000	1994	2,149,686,000
1985	1,135,145,000	1995	2,322,915,0001/
1986	1,163,282,000	1996	2,323,837,000

*The IDEA, Part B program distributes funds to the states and U.S. Territories (outlying areas) in accordance with the total number of students with disabilities ages 3 through 21 reported by the states and outlying areas as receiving special education and related services. To obtain this count, each state education agency (SEA) conducts a child count on December 1 of each year and submits it to the Office of Special Education Programs. The state's IDEA, Part B, grant for the fiscal year is based on that count. Funds appropriated for IDEA, Part B, increased by 8 percent between FY 1994 and FY 1995 to $2,322,915,000 from $2,149,686,000. This latter figure includes $82,878,000 in appropriations from the Chapter 1 Handicapped Program. However, the increase was not attributable solely to the merger of these two programs; per child allocation rose from $413 in 1994 to $418 in 1995.

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the Part B State Grant Program funded under IDEA are to (1) provide assistance to states to develop early intervention services for infants and toddlers with disabilities and their families, and to assure a free appropriate public education (FAPE) to all children and youth with disabilities; (2) assure that the rights of children and youth with disabilities from birth through age 21 and their families are protected; (3) assist states and localities to provide for early intervention services and the education of all children with disabilities; and (4) to assess and assure the effectiveness of efforts to provide early intervention services and educate children with disabilities. (OSEP, 1995)

B. Strategies to Achieve the Goals

Services Supported

The IDEA, Part B, State Grant Program for Children with Disabilities, is a formula grant program that provides funding to states, the District of Columbia, Puerto Rico, the Secretary of the Interior, and U.S. territories (outlying areas) to help them meet the costs of providing special education and related services to children and youth with disabilities. IDEA requires that all children and youth with disabilities have access to a free, appropriate public education (FAPE) that is determined on an individual basis and designed to meet their unique needs. This education must be provided in the least restrictive environment (LRE), and the rights of the child and family are protected through procedural safeguards.

The Improving America's Schools Act of 1994 (IASA) amended IDEA in a number of ways:

- Eliminated the Chapter 1 Handicapped Program and included funding for all eligible children and youth with disabilities under IDEA. Beginning with the FY 1995 appropriation, all children with disabilities were to be served under programs authorized by Part B and Part H of IDEA.
- Included a hold-harmless provision under which no state may receive an allocation of less than the total it received from the FY 1994 appropriation for children with disabilities ages 3 through 21 under the IDEA Part B Grants to States and the ESEA Chapter 1 Handicapped Programs.[1]
- Changed the cap in the IDEA pertaining to the Part B Grants to States Program to the greater of 12 percent or the combined percentage of children counted for the purpose of making FY 1994 allocations under the Grants to States and Chapter 1 Handicapped programs. (OSEP, 1995)

Table 1 shows the number and percentage change in number of children and youth with disabilities who were provided with special education under the IDEA Part B, program and the ESEA Chapter 1 Handicapped program from 1987–88 through 1994–95. These counts are now combined under IDEA, Part B. A total of 5,439,626 children and youth with disabilities ages 3 through 21 were served under IDEA, Part B, during the 1994–95 school year, an increase of 167,779 (3.2 percent) from the previous year. While this increase was somewhat less than that of the previous year, the rate of growth in the number of students receiving special education continues to exceed the rate of growth in the resident population ages 3 through 21 (which increased by 1.1 percent in 1994–95) and the rate of growth in the number of children enrolled in school (which increased by 1.5 percent in 1994–95). In the resident population, the percentage of children ages 3 through 21 served under IDEA, Part B, increased from 7.5 percent in 1993–94 to 7.7 percent in 1994–95.

Table 1
Students Ages 3 through 21 Served:
Total Number and Percentage Change,
School Years 1987-88 through 1994-95

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[1] In FYs 1998 to 1999, if the number of children with disabilities ages 3 through 21 served by a state declines below the total number of such children counted under the Grants to States and the Chapter 1 Handicapped programs for that state for allocating the FY 1994 appropriation (December 1, 1993, count), the hold-harmless amount would be reduced by the same percentage by which the number of children declined below the number in 1994 (OSEP, 1995).

School Year	Total Number Served*	Percentage Change in Total Number Served from Previous Year
1987-88**	4,455,985	--
1988-89	4,533,793	1.7
1989-90	4,638,605	2.3
1990-91	4,756,517	2.5
1991-92	4,920,227	3.4
1992-93	5,081,023	3.3
1993-94	5,271,847	3.8
1994-95	5,439,626	3.2

Note: The data for 1987–88 through 1993–94 include children 3 through 21 years of age served under IDEA, Part B, and Chapter 1 of ESEA (SOP). For 1994–95, all children ages 3 through 21 are served under Part B, which includes children previously counted under the Chapter 1 Handicapped Program.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

*The number of children with disabilities reported for the most recent year reflects revisions to state data received by the Office of Special Education Programs between the July 1 of the fiscal year and the following October 1. Because updates received from states for previous years are included, totals may not match those reported in previous annual reports to Congress.

**Although states must make FAPE available to all eligible children with disabilities as reported here, funds are based only on the number of children with disabilities served for up to 12 percent of the state's total school population. This is commonly referred to as "the 12 percent cap."

Table 2 shows that children ages 3 through 5 had the largest growth rate (6.7 percent) in 1994–95, followed by students ages 12 through 17 (3.6 percent). The number of students ages 18 through 21 decreased by 1.2 percent. The number of students ages 6 through 11 showed a moderate increase, 2.5 percent.

Table 2 also demonstrates that the two largest age groups served under IDEA, Part B, in 1994-95 were ages 6 through 11 (2,520,863) and 12 through 17 (2,154,963). The remaining age groups, ages 3 through 5 (524,458) and 18 through 21 (239,342), accounted for less than 15 percent of all students served under IDEA, Part B.

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Table 2
Number of Children Served by Age Group:
School Years 1993-94 through 1994-95

Age	Number of Children		Change		Percentage of Total, Ages 3 through 21
	1993–94	1994–95	Number	Percent	
3–5	491,685	524,458	32,773	6.7	9.6
6–11	2,458,924	2,520,863	61,939	2.5	46.3
12–17	2,079,094	2,154,963	75,869	3.6	39.6
18–21	242,144	239,342	-2,802	-1.2	4.4
TOTAL	5,271,847	5,439,626	167,779	3.2	100.0

Note: For 1993–94, funding for children and youth with disabilities includes children counted under IDEA, Part B, and the Chapter 1 Handicapped Program. For 1994–95, all children and youth ages 3 through 21 with disabilities are included under IDEA, Part B.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Table 3 shows that IDEA, Part B, served 4,915,168 students ages 6 through 21 during the 1994–95 school year. The number of students in each disability category is also shown. The information here refers only to children ages 6 through 21 because the 1986 Amendments to EHA, P.L. 99-457 (now IDEA), ended the practice of collecting disability category data on children less than 6 years old.

Students with specific learning disabilities continue to account for more than half of all students with disabilities (51.1 percent). During the 1994–95 school year, 2,513,977 students with specific learning disabilities were served under IDEA, Part B, 3.5 percent (85,915) more than in 1993–94 under the Part B and Chapter I Handicapped Programs. However, the 1994–95 percentage of students with learning disabilities in the resident population ages 6 through 21 is identical to the 1993–94 percentage. Students with speech or language impairments (20.8 percent), mental retardation (11.6 percent), and serious emotional disturbance (8.7 percent) made up an additional 41.1 percent of all students ages 6 through 21 with disabilities. Again, these percentage distributions are similar to the 1993–94 distributions.

Table 3
Number and Percentage Change of Students Ages 6-21 Served: School Years 1993–94 through 1994–95

Disability	Total		Change		Percentage of Total Ages 6-21
	1993–94	1994–95	Number	Percent	
Specific learning disabilities	2,428,062	2,513,977	85,915	3.5%	51.1
Speech or language impairments	1,018,208	1,023,665	5,457	0.5	20.8
Mental retardation	553,869	570,855	16,986	3.1	11.6
Serious emotional disturbance	415,071	428,168	13,097	3.2	8.7
Multiple disabilities	109,730	89,646	-20,084	-18.3	1.8
Hearing impairments	64,667	65,568	901	1.4	1.3
Orthopedic impairments	56,842	60,604	3,762	6.6	1.2
Other health impairments	83,080	106,509	23,429	28.2	2.2
Visual impairments	24,813	24,877	64	0.3	0.5
Autism	19,058	22,780	3,722	19.5	0.5
Deaf-blindness	1,367	1,331	-36	-2.6	0.0
Traumatic brain injury	5,395	7,188	1,793	33.2	0.1
All disabilities	4,780,162	4,915,168	135,006	2.8	100.0

Note: For 1993–94, funding for children and youth with disabilities included children counted under IDEA, Part B, and the Chapter 1 Handicapped Program. For 1994–95, all children were counted under IDEA, Part B.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Table 4 shows that the number of personnel needed to serve students with disabilities has grown as the number of children with disabilities served has increased. During the 1993–1994 school year, the number of teachers employed to serve children ages 6 through 21 increased 6.5 percent to 331,392, and the number of teachers needed (FTE employed and vacant positions) declined 4.4 percent to 24,697. The two largest categories of special education teachers employed were specific learning disabilities and cross-categorical, and the largest number of vacant positions were in the speech or language impairments, specific learning disabilities, and cross-categorical categories.

Placement trends. The trend to place more children in more integrated settings continues. During the 1993–94 school year, approximately 12 percent of elementary and secondary students received special education services (a 44 percent increase since the beginning of the program in 1975), and 95 percent of those students are served in regular school buildings. Data for students with disabilities, ages 6 through 21, show that during the past several years, the percentage of students with disabilities served in regular classes has increased, while the percentage of students in resource rooms has decreased. Other placement percentages have remained stable.

Assisting states and localities in educating all children with disabilities. OSEP recognizes the importance of its monitoring responsibility and activities to ensure compliance with congressional mandates under the Part B program. The requirements with the strongest links to results for children and youth with disabilities include (1) access to the full range of programs and services available to other children, with proper supports as determined through an Individualized Educational Program (IEP); (2) statements of needed transition services for students with disabilities no later than age 16; and (3) education in the least restrictive environment (LRE).

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During the past three years, OSEP has worked to reorient and strengthen its monitoring system so that it will, in conjunction with research, innovation, and technical assistance efforts, support systematic reform that produces better results for students with disabilities and ensures compliance. OSEP conducted comprehensive monitoring visits to 14 states, Puerto Rico, and the pre-college programs of Gallaudet University during the 1994–95 school year, and to 11 states during the 1995–96 school year. The 21 final monitoring reports that OSEP issued in FY 1995 focused on student access to instruction and vocational preparation, procedural safeguards for children with disabilities and their parents, and the SEA's exercise of its general supervision responsibility.

Table 4
Special Education Teacher Positions
Funded to Serve Students Ages 6-21
Under IDEA, Part B, by Employment Classification:
School Year 1993–94

Disability/Other Classification	FTE Employed		Vacant positions	Total positions
	Fully certified	Not fully certified		
Specific learning disabilities	85,853	6,897	771	93,522
Speech or language impairments	36,807	1,655	1,097	39,559
Mental retardation	39,342	2,530	353	42,225
Serious emotional disturbance	26,171	3,608	373	30,151
Multiple disabilities	7,118	520	67	7,705
Hearing impairments	5,738	285	84	6,107
Orthopedic impairments	2,684	239	126	3,049
Other health impairments	2,065	239	43	2,347
Visual impairments	2,433	139	68	2,640
Autism	1,418	285	24	1,727
Deaf-blindness	102	13	3	118
Traumatic brain injury	110	23	2	136
Cross-categorical[1]	84,534	4,501	559	89,594
Other classification[2/]	15,962	119	74	16,155
Total	310,338	21,054	3,643	335,035

Note: The total FTE shown in both the row and column totals may not equal the sum of the individual states and outlying areas because of rounding.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

1/ Three states--Idaho, Massachusetts, and Texas--report all special education teachers as cross-categorical.

2/ Includes counts of special education teachers for the five jurisdictions--Oregon, Pennsylvania, South Dakota, Palau, and the Northern Mariana Islands--not using Federal disability categories.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators for the IDEA Part B program are now being developed.

The Department will reintroduce its proposal for the reauthorization of the Individuals with Disabilities Education Act during the 105th Congress. Over the past 20 years, IDEA has been successful in ensuring that children with disabilities have access to a free, appropriate public education. The primary challenge of the program now is to improve the quality of that education so that children with disabilities can, to the maximum extent appropriate, meet challenging standards that have been established for all children and be prepared to lead productive independent adult lives.

The Department's reauthorization proposal would align IDEA with state and local education improvement efforts so that students with disabilities could benefit from them through higher expectations and meaningful access to the general curriculum, to the maximum extent appropriate. Implications for Part B of IDEA include the following:

Assessments. IDEA would contain a requirement that states include students with disabilities in general statewide and district-wide assessments, with appropriate accommodations, where necessary. States and school districts would develop guidelines for the participation of children with disabilities in alternative assessments for those children who cannot participate in the general assessments. States would report on the results of general state assessments.

Improving the IEP. The IEP process would focus on the general curriculum and setting challenging standards; including students with disabilities in the regular education environment and ensuring the provision of the aids and supports necessary for successful inclusion; working with regular education teachers; and meeting the needs of students with limited English proficiency.

State performance goals. As part of establishing eligibility under Part B of IDEA, each state would have its own goals for the performance of students with disabilities. To the maximum extent possible, state goals would be consistent with other goals and standards established by the state, including those established under Goals 2000, School-to-Work, the Improving America's Schools Act (IASA), and other relevant programs. Each state also would establish performance indicators that it would use to assess progress toward achieving its goals. The performance indicators would, at a minimum, address the performance of children with disabilities on assessments, drop-out rates, and graduation rates. Each state would report every two years on the progress of the state, and of children with disabilities in the state, toward meeting the state's goals.

Reform federal and state funding formulas. The proposed reauthorization would amend IDEA to create incentives for appropriate practice by basing federal allocations to states over and above their FY 1995 funding levels on the total number of children in the state, including both disabled and other children. States that have funding formulas for special education that provide differential funding for students according to where the child is served would be required to demonstrate that the formula will not result in placements that violate the IDEA's least restrictive environment requirement, or change the formula.

Reduce record-keeping requirements. School districts would be allowed to use their Part B funds for the cost of special education and related services provided in the regular class for the purpose of meeting the needs of a child with a disability in accordance with the child's IEP, even if children without disabilities benefit from the services.

IV. Planned Studies

The Department has requested funds under a proposed set-aside authority for funds available to carry out a "National Assessment of the Implementation of IDEA," as well as other studies and evaluations related to the implementation of the IDEA.

V. Sources of Information

1. Eighteenth Annual Report to Congress on the Education of Children with Disabilities Act (Washington, DC: U.S. Department of Education, 1996).

2. Program files.

VI. Contacts for Further Information

Program Operations:	Lois Taylor, (202) 205-8830
Program Studies:	Susan Sanchez, (202) 401-0886

Preschool Grants for Children with Disabilities
(CDFA No. 84.173)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part B, Section 619 (20 U.S.C. 1419), is permanently authorized.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$12,500,000	1990	$251,510,000
1980	25,000,000	1991	292,766,000
1985	29,000,000	1992	320,000,000
1986	28,710,000	1993	325,773,000
1987	180,000,000	1994	339,257,000
1988	201,054,000	1995	360,265,000
1989	247,000,000	1996	360,409,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to provide an incentive to states to make a free, appropriate public education (FAPE) available to all children with disabilities who are three, four, or five years old.

B. Strategies to Achieve the Goals

Services Supported

The Preschool Grants Program provides grants to states, the District of Columbia, Puerto Rico, and the outlying areas. Awards are made on the basis of a formula using the state's FY 1997 award as a base amount, with additional funds awarded on the basis of the state's relative population of three, four, and five years old children and the state's relative population of three, four, and five years old children living in poverty. These funds are provided in addition to funds received under the Grants to States Program, but the Preschool Grant funds must be used for preschool-aged children with disabilities, whereas a state is not required to use their Grants to States money on preschoolers. The method of calculating grants for the states, as well as the states' method of calculating awards to local educational agencies changed with the enactment of P.L. 105-17 on June 4, 1997.

To be eligible for these grants, states must meet eligibility criteria in Section 612 of Part B of the Individuals with Disabilities Education Act (IDEA), and serve all children with disabilities who are three through five years old. A state that does not make FAPE available to all children with disabilities who are three, four, or five years old cannot receive funds from this program or funds attributable to this age group under the Grants to States Program and is not eligible for grants under various IDEA discretionary programs for activities pertaining solely to this age group. Currently, every state makes FAPE available to all three–, four–, and five–year olds with disabilities.

At their discretion, states may include in the program preschool-age children who are experiencing developmental delays (as defined by the state and as measured by appropriate diagnostic instruments and procedures) and who need special education and related services. States, and local education agencies, if consistent with state policy, may also use funds received under this program to provide a free, appropriate public education to two-year-olds with disabilities who will turn three during the school year.

States may retain an amount equal to 25 percent of their FY 1997 award, adjusted annually by the lesser of inflation or a percentage of a larger federal appropriation for state administrative functions and other state-level activities related to preschool programs.

C. Program Performance—Indicators of Impact and Effectiveness

Between 1991 and 1997, the number of children served under this program increased by 33 percent. Even after 1991, when the statutory requirement for states to make FAPE available to all children with disabilities ages three, four, or five as a condition for participation in this program was in effect, large increases occurred beyond what was anticipated. For 1994 the Department projected an increase of 12,411 children, or 2.8 percent over the 1993 child count. The actual increase in the child count was 37,616, or 8.5 percent. For 1995, the Department predicted that the count would increase by 5 percent. The Part B, 3 through 5 count increased 2.2 percent from FY 1996 to FY 1997, but it is premature to judge whether program growth is leveling off, especially since the number of infants and toddlers served under Part H continues to increase.

Improvements in medical technology have enabled an increasing number of children who previously would not have survived to be born, although frequently they are born physically fragile and dependent on medical technology. In addition, the growing number of children living in poverty leads to a corresponding increase in the number of children at risk for disability. The National Center for Children in Poverty's 1995 report, *Young Children in Poverty: A Statistical Update*, reported that the number of U.S. children under six years of age living in poverty grew from 5 to 6 million between 1987 and 1992. The center states: "The significance of these figures for our society cannot be overstated because we will pay the costs for the next several decades. Poverty gives rise to many types of deprivation, and many of our youngest, poorest children suffer severe consequences in terms of their physical health and psychological development."

States used Preschool Grant funds to support many state-level activities to support statewide systems for preschoolers with disabilities and their families. This may include support for local interagency coordinating committees (ICCs) and other collaborative activities with Part H Infant and Toddlers with Disabilities programs. In 15 states, the focus of the ICCs includes children from birth though age five. All states report participating in coordination activities in some combination with other state agencies and programs in conducting "child find" (efforts to identify eligible children), public awareness, or training activities. For example, 43 states have interagency agreements between special education and Head Start that define fiscal responsibility, collaborative activities related to child find, such as assessment/evaluation of children, referral and training, and agency responsibility for services to children with disabilities. In addition, a majority of state education agencies are collaborating with the Even Start program and with Child Care Block Grant activities. Most states report that they have developed or are developing policies or transition agreements concerning the transition of children from early intervention to preschool. Twenty-five states have developed or are developing policies regarding use of funds for two-year-old children who will turn three during the school year. This interagency coordination allows state education agencies to combine the efforts of a variety of agencies to meet the diverse needs of preschool children with disabilities and their families.

Studies of the effectiveness of early intervention services. The Department is funding several projects to provide information on the effectiveness of early intervention services. The Early Intervention Research Institute Longitudinal Study is completed. Results on the long-term effects and costs varied among the nine study sites. No particular results with respect to type, amount, frequency, parental involvement models were significant across the study. Currently, the Early Childhood Research Institute on Inclusion is looking at issues such as how to support and increase integration of preschool children with disabilities with other children who do not have disabilities. States are not required to serve preschool children who have no disabilities, so it can be difficult to find appropriate community-based programs in which children with disabilities can receive services. Progress is being made in this area, however.

Long-term outcomes of preschool programs. The Center for the Future of Children, part of the David and Lucile Packard Foundation, published a report on the *Long-term Outcomes of Early Childhood Programs*, which was released in December 1995. This report analyzed 25 years of research and reviews of 144 national and international kindergarten programs, beginning with the federal Head Start Program in 1965. There was variation in the reports analyzed, but the weight of the evidence indicates that early childhood education can produce positive effects on IQ during the early years and sizable, persistent positive effects on achievement, grade retention, high school graduation rates, special education participation, and socialization. The center found that children who attend early childhood programs do better in math and science than their peers who did not attend preschool, and that they are less likely to drop out of school and commit crimes. The report noted that, in particular, the evidence for effects related to grade retention and special education was overwhelming. It indicated that preschool programs can help many children stay out of trouble, and can mean the difference between passing and failing and regular or special education. While the analysis was not specifically targeted on children with disabilities, it is likely that early education has even more significance for children with developmental delays.

IV. Planned Studies

National Profile of the Preschool Grants Program: The National Early Childhood Technical Assistance System (NEC*TAS) annually assembles information from state preschool program coordinators to develop a national profile of the Preschool Grants Program.

V. Sources of Information

1. Seventeenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1995).

2. Program files.

3. Young Children in Poverty: A Statistical Update (Washington, DC: National Center for

Children in Poverty, 1995).

4. Long-term Outcomes of Early Childhood Programs (Washington, DC: Center for the Future of Children, 1995).

5. Eighteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Educational Act (Washington, DC: U.S. Department of Education, 1996).

VI. Contacts for Further Information

Program Operations: Nancy Treusch, (202) 205-9097

Program Studies: Susan Thompson-Hoffman, (202) 401-0091

Regional Resource and Federal Centers Program
(CFDA No. 84.028)

I. Legislation

The Individuals with Disabilities Education Act (IDEA), as amended, Part C, Section 621, P.L. 101-476 (20 U.S.C. 1421), expired September 30, 1995; operating under the authorization of the appropriations acts.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$5,000,000	1987	$6,700,000
1970	3,000,000	1988	6,415,000
1975	7,087,000	1989	6,338,000
1980	9,750,000	1990	6,510,000
1981	2,950,000	1991	6,620,000
1982	2,880,000	1992	7,000,000
1983	2,880,000	1993	7,218,000
1984	5,700,000	1994	7,218,000
1985	6,000,000	1995	7,218,000
1986	6,029,000	1996	6,641,000

III. Analysis of Program Performance

A. Goals and Objectives

The Regional Resource and Federal Centers Program supports Regional Resource Centers (RRCs) that provide consultation, technical assistance, and training to state education agencies (SEAs) and, through the SEAs, to local education agencies and other appropriate public agencies. The purpose is to help these agencies provide early intervention, special education and related services to infants, toddlers, children, and youth with disabilities and their families. The program is designed to provide services to all states and territories, the District of Columbia, and the schools of the Bureau of Indian Affairs, through six service regions. A national coordination technical assistance center, the Federal Resource Center, is designed to synthesize information about needs, issues, and trends concerning the provision of special education and related services for students with disabilities, across the six RRCs.

B. Strategies to Achieve the Goals

Services Supported

Regional Resource Centers. The national focus of the RRC program is to support changes in state policies, procedures, and practices that affect local programs and services to children with disabilities and their families. The RRCs accomplish this mission by helping the region's SEAs to

(1) identify and analyze persistent problems that interfere with the provision of quality services; (2) gain access to current special education research, technology, and practices for solving problems; (3) work with other states to develop solutions to common problems; (4) adopt new technologies and practices through consultation and the provision of relevant information; and, (5) improve the cooperation between professionals and parents of children with disabilities.

The RRCs produce and disseminate products within their region that are designed to improve services to children with disabilities, address legislative mandates, help reduce duplication of services, fill gaps in services, improve the sharing of information among cooperating service providers, and maintain continuity in services and pool resources during a time when such resources are becoming more limited. Each center serves 7 to 14 states and U.S. territories (outlying areas). Key issues at this time are (1) meeting the needs of a diverse group of students with disabilities, such as minority and medically fragile children, (2) serving children with disabilities in general education settings, and (3) improving the outcomes for students with disabilities as they make the transition from school to the work place.

Federal Resource Center. A major support to the RRC network is the Federal Resource Center (FRC), which helps coordinate activities among the RRCs to ensure that the technical assistance and information that the various Regional Resource Centers provide to state educational agencies reflect a national perspective, and is consistent in terms of content and strategy. The FRC provides information on national issues and trends, current technical assistance activities, and promising special education practices to each of the RRCs to ensure better results for children. A major function of the FRC is to help link RRCs with other technical assistance projects funded by the Department's Office of Special Education Programs, including health-related entities and organizations representing persons with disabilities, professional organizations, and projects involving parents.

C. Program Performance—Indicators of Impact and Effectiveness

A performance measures workgroup has begun approaching the development of performance measures in a way that is generally aligned to the proposed reauthorization of IDEA, but would be useful regardless of the legislative structure. It assumes that discretionary activities would fall under seven major categories of activities: research, demonstration, outreach, professional development and parent training, systems change, technical assistance, and dissemination. Indicators are being developed.

IV. Planned Studies

The Department has requested funds under a proposed set-aside authority for funds available under state grants to carry out a national assessment of the implementation of IDEA, as well as other studies and evaluations related to the implementation of IDEA. The national assessment would evaluate the extent to which its discretionary programs support the goals of the IDEA. The Department has yet to determine if a national assessment would include an evaluation of the Regional Resource Centers and the Federal Resource Center.

V. Sources of Information

1. Individuals with Disabilities Education Act. Program Funded Activities Fiscal Year 1995 (Washington, DC: U.S. Department of Education, 1995).

2. Individuals with Disabilities Education Act Amendments of 1995. Reauthorization of the Individuals with Disabilities Education Act (IDEA) (Washington, DC: U.S. Department of Education, 1995).

3. Program files.

VI. Contacts for Further Information

Program Operations:	Marie Roane, (202) 205-8451
Program Studies:	Susan Sanchez, (202) 401-0886

Services for Children with Deaf-Blindness
(CDFA No. 84.025)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part C, Section 622, as amended, (20 U.S.C.1422) expired September 30, 1995; operated under the authorization of the appropriations act of FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$1,000,000	1989	$14,189,000
1970	4,000,000	1990	14,555,000
1975	12,000,000	1991	12,849,000
1980	16,000,000	1992	13,000,000
1985	15,000,000	1993	12,832,000
1986	14,355,000	1994	12,832,000
1987	15,000,000	1995	12,832,000
1988	14,361,000	1996	12,832,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the program was to help state education agencies, local education agencies, and early intervention agencies assure special education, related services, and early intervention services to children with deaf-blindness, to facilitate the transition from educational to other services, and to support related research, demonstration, dissemination, and other projects.

B. Strategies to Achieve the Goals

Services Supported

In FY 1996 the program supported 48 state and multistate projects, two technical assistance projects, a national clearinghouse, and eight demonstration and other awards. Eligible applicants included public and nonprofit private agencies, institutions, and organizations, including Indian tribes, the Bureau of Indian Affairs of the Department of Interior (if acting on behalf of schools operated by the Bureau for children and students on Indian reservations), and tribally controlled schools funded by the Department of Interior. Most program funds were used as follows:

- To provide grants to single and multistate projects to support (a) early intervention, special education, and related services as well as vocational and transitional services to infants, toddlers, children, and youth with deaf-blindness whom states were not otherwise obligated to serve and (b) technical assistance to agencies providing such services;

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- To support cooperative agreements providing technical assistance to agencies and organizations for transitional services for deaf-blind adolescent; these awards were directed primarily at building capacity;
- To support research and demonstration grants supporting activities in a wide variety of areas including validation and utilization of exemplary practices and the development of innovative interventions; and
- To support a national clearinghouse on children who are both deaf and blind.

C. Program Performance—Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

Seventeenth Annual Report to Congress on Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1995).

VI. Contacts for Further Information

Program Operations:	Charles W. Freeman, (202) 205-8165
Program Studies:	Susan Thompson-Hoffman, (202) 401-0091

Early Education Program for Children with Disabilities (CDFA No. 84.024)

I. Legislation

Individuals with Disabilities Education Act (IDEA), P.L. 102-119, as amended, Part C, Section 623 (20 U.S.C. 1423) (expires September 30, 1995)

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 945,000	1989	$23,147,000
1970	4,000,000	1990	23,766,000
1975	14,000,000	1991	24,202,000
1980	20,000,000	1992	25,000,000
1985	22,500,000	1993	25,167,000
1986	22,968,000	1994	25,167,000
1987	24,470,000	1995	25,167,000
1988	23,428,000	1996	25,147,000

III. Analysis of Program Performance

A. Goals and Objectives

To improve special education and early intervention services for infants, toddlers, and children with disabilities, from birth through age eight by developing new knowledge in the field of early childhood education, supporting development and testing of interventions, and broadly disseminating the information gained to help program managers and teachers improve their programs and services.

B. Strategies to Achieve the Goals

Services Supported

Types of activities funded include: research, outreach, demonstration, training, technical assistance, and dissemination. Awards are made to public and private agencies and organizations, typically for three to five years. The program administers competitive discretionary grants, cooperative agreements, and contracts. In fiscal years 1995-1996, the program supported the following:

Five Research Institutes:

1. Longitudinal studies of the effects and costs of early intervention (Utah State University)

2. Identification of factors affecting the provision of community services to infants and toddlers and their families under the Part H program (University of North Carolina at Chapel Hill)

3. Development and field-testing of intervention strategies to improve the inclusion of children with disabilities into regular preschool, child care, prekindergarten, and kindergarten programs (Vanderbilt University)

4. Development and evaluation of intervention strategies for children who were neonatally exposed to drugs and children who were born with fetal alcohol syndrome (University of Kansas)

5. Develop, evaluate, and disseminate strategies to promote successful early intervention practices in early elementary grades (Allegheny Singer Research Institute)

Forty-three demonstration projects in five areas:

1. Innovative inservice training programs for personnel serving infants, toddlers, and preschool-aged children with disabilities

2. Integrated preschool services

3. Methodology for serving infants and toddlers with specific disabilities

4. Field-initiated model demonstrations in early intervention for children with disabilities

5. Intervention models for children with low incidence disabilities

Forty-seven outreach/dissemination projects with documented model programs for dissemination and replication in other sites that transfer the finding of research and model demonstration activities into the service delivery system.

Twenty-six inservice training projects designed to train college and university faculty members who train personnel that currently provide early intervention services.

A national early childhood technical assistance project is funded at the University of North Carolina at Chapel Hill and is designed to:

1. Help state agencies develop and implement plans for delivering services to children with disabilities from birth through age five.

2. Provide community agencies with help to develop the capacity to provide high quality services.

3. Facilitate the exchange of research and "best-practice" information.

4. Help discretionary projects achieve their objectives and link them with states requesting new models and materials.

C. Program Performance—Indicators of Impact and Effectiveness

Under development.

IV. Planned Studies

None.

V. Sources of Information

Seventeenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1995).

VI. Contacts for Further Information

Program Operations:	Gail Houle, (202) 205-9045
Program Studies:	Susan Thompson-Hoffman, (202) 401-0091

Program for Children with Severe Disabilities
(CDFA No. 84.086)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part C, Section 624 (20 U.S.C. 1424) expired September 30, 1995; operated under the authority of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$2,247,000	1990	$5,819,000
1975	2,826,000	1991	7,869,000
1980	5,000,000	1992	8,000,000
1985	4,300,000	1993	9,330,000
1986	4,785,000	1994	9,330,000
1987	5,300,000	1995	10,030,000
1988	5,361,000	1996	10,030,000
1989	5,297,000		

III. Analysis of Program Performance

A. Goals and Objectives

To improve early intervention, special education, related services, and integration for children with severe disabilities by supporting research, development, demonstration, training, dissemination, and statewide systems change activities that address their needs.

B. Strategies to Achieve the Goals

Services Supported

Support of projects that promote state-wide systems change accounted for almost half ($4,400,000), of FY 1996 funding. These projects, in conjunction with IDEA, Part B state plans, include activities to improve the quality of special education and related services in the state for children and youth with severe disabilities (including children with deaf-blindness), and to change the delivery of these services from segregated to integrated environments. The projects must identify resources available in the state and must establish services needed to improve services in regular education settings. In FY 1996, 11 new outreach projects were awarded to serve children with severe disabilities; 31 continuation projects were also supported.

Awards made in FY 1996 included grants and cooperative agreements to support activities and services in the following general categories:

1. State-wide Systems Change (18 continuation cooperative agreements).

2. Outreach: Serving Children with Severe Disabilities in Integrated Environments 11 new grants and three continuation grants)

3. Model Inservice Training Projects (three continuation grants)

4. Developing Innovations for Education Children with Severe Disabilities Full- time in General Education Settings (five continuation grants)

5. Social Relationships Research Institute for Children and Youth with Severe Disabilities (one continuation cooperative agreement)

6. Inclusive Education Implementation Institute (one continuation cooperative agreement)

These projects provide a variety of services, including inservice training to teachers, related service personnel and administrators, local education agencies, and state education agencies. They also test solutions to specific problems in the delivery of special education and related services to students with severe disabilities. State-wide Systems Change grantees are required to evaluate the effectiveness of their activities, including their effectiveness in increasing the number of children in regular school settings alongside their same-aged, non-disabled peers. They must also evaluate and disseminate information about the project's outcomes.

Administrative program efforts in FY 1996 continued to focus on improving the capacity of state education systems to serve children with severe disabilities in less restrictive environments and on improving interventions in these environments. Program strategies continued to include priorities which support research activities, validated practices, demonstrations based on research methodology, outreach efforts using effective educational practices, and dissemination of best practices.

Programs continued to pursue management improvement strategies in FY 1993, including:

1. Disseminating project information through the development and ongoing use of a data-based information system. This information is accessible to all projects through the Federal Regional Resource Center, as well as the central office. In addition, an annual conference was held which focused on strategies for dissemination of project information.

2. Providing guidance to grantees in the preparation of interim and final project reports, review of these reports, and referral for their publication in the Council for Exceptional Children/Education Research Information Center (CEC/ERIC).

3. Providing specialized assistance in designing evaluation plans and instrumentation.

C. Program Performance—Indicators of Impact and Effectiveness

Under development.

IV. Planned Studies

None.

V. Sources of Information

1. Seventeenth Annual Report to Congress on Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1995).
2. Evaluation of the IDEA Discretionary Programs Goal Evaluation: Final Field Activities Report: Program for Children with Severe Disabilities (Washington, DC: COSMOS Corporation, July 1993).
3. The Second National Symposium on Effective Communication for Children and Youth with Severe Disabilities: Topic Papers, Reader's Guide and Videotape (McLean, VA: Interstate Research Associates, May 1993).
4. Program files.

VI. Contacts for Further Information

Program Operations:	Charles Freeman, (202) 205-8165
Program Studies:	Susan Thompson-Hoffman, (202) 401-0091

Postsecondary Education Program for Individuals with Disabilities (CFDA No. 84.078)

I. Legislation:

Individuals with Disabilities Education Act (IDEA), Part C, Section 625, as amended, (20 U.S.C. 1424a), expired September 30, 1995; operated under the authority of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$2,400,000	1993	$8,839,000
1985	5,300,000	1994	8,839,000
1990	6,510,000	1995	8,839,000
1991	8,559,000	1996	8,839,000
1992	9,000,000		

III. Analysis of Program Performance

A. Goals and Objectives

This program supported the development, operation, and dissemination of specially designed model programs of postsecondary, vocational, technical, and continuing and adult education for individuals with disabilities. Two types of projects were funded: (1) grants to four regional centers to help educational institutions implement proven models, components of models, and other exemplary practices, including innovative technology, to increase and improve educational opportunities for individuals who are hearing impaired (deaf and hard of hearing); and (2) demonstrations and special projects that develop innovative models of educational programs for the delivery of support services and programs for postsecondary and adult students with disabilities.

B. Strategies to Achieve the Goals

Services Supported

In FY 1995 four continuation grants were funded, and in FY 1996 four new awards were made, to the regional centers, which provided specially designed or modified programs of support services to enable deaf students from a multistate region to participate in regular postsecondary offerings alongside their other students.

Absolute Priority 84.078A for the regional centers required that each center provide a range of technical assistance and outreach services to postsecondary institutions, including academic, vocational, technical, continuing and adult education programs, to expand the array of educational opportunities within the region that were available to students who were deaf and hard of hearing. The centers were to provide technical assistance to institutions that were not serving students who were deaf and hard of hearing, to help them develop services. The centers were also required to provide technical assistance to institutions not adequately serving students who were deaf and hard of hearing to help them improve existing programs. In carrying out the objectives of the priority, projects were required to distribute technical assistance services and resources equitably within each state in its target region, taking into account the size of the population and the size of the region.

Demonstration and special project awards were authorized to state education agencies, institutions of higher education, junior and community colleges, vocational and technical institutions, and other nonprofit education agencies. In FY 1995, 14 new and 29 continuation awards were made. The FY 1995 Postsecondary Demonstration priority for new projects supported model projects to enhance the role and capacity of career placement offices that arrange preemployment and employment opportunities and subsequent employment placements for students with disabilities in community and four-year colleges, universities, technical and vocational institutes, and adult and continuing education programs.

In FY 1996, 16 new and 27 continuation awards were made.

The FY 1996 Postsecondary Demonstration priority for new awards supported model projects that developed, implemented, evaluated, and disseminated new or improved approaches for serving the needs of students with disabilities in a variety of postsecondary settings. The intent of this priority was to improve the capacity of postsecondary institutions to serve students with disabilities and to improve their potential for successful postsecondary outcomes. Projects focused specifically on transferring means of serving people in an educational setting to the employment setting, accommodating diverse learning styles in a range of academic settings, and improving student potential for successful postsecondary experiences.

C. Program Performance—Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Hugh Berry, (202) 205-8121
Program Studies:	Daphne Hardcastle, (202) 401-7949

Training Personnel for the Education of Individuals with Disabilities
(CFDA No. 84.029)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part D, Sections 631,632,634, and 635, as amended (20 U.S.C. 1431, 1432, 1434, and 1435), expired September 30, 1995, operated under the authority of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$19,500,000	1991	$69,288,099
1970	36,610,000	1992	80,800,000
1975	37,700,000	1993	90,122,537
1980	55,375,000	1994	91,339,000
1985	61,000,000	1995	91,339,000
1990	71,000,000	1996	91,339,000

III. Analysis of Program Performance

A. Goals and Objectives

This program supported grants to improve the quality and reduce shortages of personnel providing special education, related services, and early intervention services to children with disabilities.

B. Strategies to Achieve the Goals

Services Supported

Grants were awarded to institutions of higher education, state education agencies, and other appropriate nonprofit organizations to (1) train teachers and other education personnel, administrators, related services personnel, and early intervention personnel; (2) develop and demonstrate new approaches to personnel training; (3) support partnerships for personnel training; and (4) help state education agencies provide a comprehensive system of training for special education personnel.

Training programs were usually located in universities and typically supported the costs of a project director/coordinator, student stipends, and, in some cases, instructor salaries. All teacher training projects funded in recent years concentrated on preparing students for a baccalaureate or graduate degree in special education or related services areas. Projects were also funded to develop related services personnel, teacher trainers, researchers, administrators, and other specialists (V.1, V.2, V.3).

The Special Projects competition supported projects to develop and demonstrate new approaches for preparing to serve children with disabilities, such as the preservice training of regular educators and the preservice and in-service training of special education personnel, including classroom aides, related services personnel, and regular education personnel who serve children and youth with disabilities. Some project activities assisted under this priority were development, evaluation, and distribution of imaginative or innovative approaches to personnel preparation and development of materials to prepare personnel to educate children and youth with disabilities. Special projects also supported training in computer technology; adapted physical education, corrections education, transition from school, parent training, training to work with assistive devices (V.1.).

State education agency grants supported states in establishing and maintaining pre- and inservice training of special education and related service personnel. This program also supported recruitment and retention activities.

In FY 1995 most of the funding was awarded to institutions of higher education for personnel training (78 percent), while 12 percent was awarded for special projects, and 10 percent was awarded to state education agencies for development and training activities. A total of 832 awards were made: 696 grants to colleges and universities for personnel training, 79 grants for development and demonstration projects, and 57 grants to state education agencies. One award was made for a technical assistance project to provide support for the state personnel development activities (V.2).

C. Program Performance–Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Eighteenth Annual Report to Congress on Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1996).

3. Seventeenth Annual Report to Congress on Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1995).

4. State education agency reports.

5. Reports from personnel training grant recipients, 1995.

VI. Contacts for Further Information

Program Operations:	Louis Danielson, (202) 205-8964
Program Studies:	Daphne Hardcastle, (202) 401-7949

Clearinghouses for Individuals with Disabilities
(CFDA No. 84.030)

I. Legislation

Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part D, Section 633, (20 U.S.C. 1433) expired September 30, 1995; operating under the authorization of the appropriations acts.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 250,000	1987	$1,200,000
1970	475,000	1988	1,149,000
1975	500,000	1989	1,135,000
1980	1,000,000	1990	1,479,000
1981	750,000	1991	1,525,000
1982	720,000	1992	2,000,000
1983	720,000	1993	2,162,000
1984	1,000,000	1994	2,162,000
1985	1,025,000	1995	2,162,000
1986	1,062,000	1996	1,989,000

III. Analysis of Program Performance

A. Goals and Objectives

The Clearinghouses for Individuals with Disabilities Program supports three clearinghouses that (1) disseminate information and provide technical assistance to parents, professionals, and other interested parties; (2) provide information on postsecondary programs and services for individuals with disabilities; and (3) encourage students and professional personnel to pursue careers in the field of special education. The major objectives of the clearinghouses are to:

- collect, develop and disseminate information;
- provide technical assistance;
- conduct coordinated outreach activities;
- coordinate and network with other national, state and local organizations and information and referral resources;
- respond to individuals and organizations seeking information; and
- provide for the synthesis of information for its effective use by parents, professionals, individuals with disabilities, and other interested parties.

B. Strategies to Achieve the Goals

Services Supported

The National Information Center for Children and Youth with Disabilities (NICHCY) provides parents, professionals, and others with current and factual information regarding the diverse issues related to the education of children and youth with disabilities. The project also provides technical assistance and promotes the involvement of individuals with disabilities, their families, volunteers, and professionals in providing information to the general public. A major emphasis of this project is to develop and disseminate, in appropriate language and media, material to assist families with low reading abilities which have children and youth with disabilities; families whose primary language is not English; and families located in isolated sectors of the country where obtaining specific information for a particular child is difficult. The clearinghouse is located at the Academy for Educational Development, Washington, D.C.

The National Clearinghouse on Postsecondary Education for Individuals with Disabilities, known as HEATH (Higher Education and the Handicapped) Resource Center, serves as an information exchange about educational support services, procedures, policies, adaptations, and opportunities on college and university campuses, vocational technical schools, independent career schools, adult and continuing education programs, independent living centers, and other training entities after high school for youth and adults with disabilities. The clearinghouse promotes information on the kinds of accommodations that enable full participation by students with disabilities in regular as well as specialized postsecondary programs so that these settings will be the least restrictive and most productive environment possible for each individual. *Information from HEATH* is a newsletter issued three times a year which provides information about new publications, highlights campus programs, discusses new or pending legislation and focuses on topics of concern. This is the main vehicle for the clearinghouse to keep its target audiences routinely informed. The clearinghouse is located at the American Council on Education, Washington, D.C.

The National Clearinghouse on Professions in Special Education collects, analyzes, and disseminates information on current and future national, regional, and state needs for special education and related services personnel; develops and disseminates information to potential special education and related services professionals concerning career opportunities, location of preparation programs, and various forms of financial assistance (such as scholarships, stipends, and allowances); improves and maintains a knowledge base concerning appropriate programs that prepare professionals in special education and related services; establishes networks of local and state education agencies and professional associations to maximize the sharing and accuracy of information about career and employment opportunities; and provides technical assistance to institutions of higher education seeking to meet state and professionally recognized standards. The clearinghouse disseminates information that will guide national efforts to systematically increase the supply of qualified special education and related services paraprofessionals and professionals from diverse backgrounds. The clearinghouse is operated by the Council for Exceptional Children, Reston, Virginia, in conjunction with the National Association of State Directors of Special Education.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed.

IV. Planned Studies

None

V. Sources of Information

1. Individuals with Disabilities Education Act Program-Funded Activities, Fiscal Year 1995. (Washington, DC: U.S. Department of Education, 1996).
2. Program files.

VI. Contacts for Further Information

Program Operations:	Hugh Berry, (202) 205-8121
Program Studies:	Susan Sanchez, (202) 401-0886

Research in the Education of Individuals with Disabilities
(CFDA No. 84.023)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part E, Sections 641-643, as amended (20 U.S.C. 1441, 1442 and 1443) expired September 30, 1995; operating under the authorization of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1964	$ 2,000,000	1987	$18,000,000
1970	13,360,000	1988	17,233,000
1975	9,341,000	1989	17,026,000
1980	20,000,000	1990	19,825,000
1981	15,000,000	1991	20,174,000
1982	10,800,000	1992	21,000,000
1983	12,000,000	1993	20,635,000
1984	15,000,000	1994	20,635,000
1985	16,000,000	1995	20,635,000
1986	16,269,000	1996	14,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of this program were (1) to advance and improve the knowledge base and improve the practice of professionals, parents, and others providing early intervention, special education, and related services, including professionals in regular education environments, in order to provide children with disabilities effective instruction and enable them to learn successfully; and (2) to support research, surveys, or demonstrations relating to physical education or recreation, including therapeutic recreation, for children with disabilities.

B. Strategies to Achieve the Goals

The research program sponsored multiple research priorities including (1) field initiated research, (2) student initiated research, (3) initial career awards, and (4) directed research projects. The types of projects that were supported under the program include research, development, and demonstration projects. In FY 1995, 63 new grants and contracts were awarded; in FY 1996, 19 new grants were awarded. Eligible applicants were state and local education agencies, institutions of higher education, and other public agencies and nonprofit, private organizations. Profit-making organizations were allowed to receive awards only for contracts dealing with research related to physical education or recreation.

C. Program Performance—Indicators of Impact and Effectiveness

Performance Indicators are under development.

IV. Planned Studies

None

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Doris Andres, (202) 204-8125
Program Studies:	Susan Sanchez, (202) 401-0886

Captioned Films, Television, Descriptive Video, Educational Media for Individuals with Disabilities (CFDA No. 84.026)

I. Legislation

The Individuals with Disabilities Education Act (IDEA), Part F, as amended (20 U.S.C. 1451, 1452 and 1454) (expired September 30, 1995; operated under the authority of the appropriations act in 1996).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 2,800,000	1991	$16,424,000
1970	6,500,000	1992	17,000,000
1975	13,250,000	1993	17,892,000
1980	19,000,000	1994	18,642,000
1985	16,500,000	1995	19,142,000
1990	15,192,000	1996	19,130,000

III. Analysis of Program Performance

A. Goals and Objectives

This program promotes the use of communications and educational media by persons with disabilities. The program primarily provides support for the captioning and distribution of films and videos, and for the captioning of television programs for persons who are deaf; description videos for persons who are visually impaired, and for the provision of cultural experiences by the National Theater of the Deaf and other appropriate nonprofit organizations. These activities are intended to provide enriched educational and cultural experiences for persons with disabilities.

B. Strategies to Achieve the Goals

This program is targeted toward persons who are deaf or hard of hearing, blind or visually impaired, or who otherwise can benefit from special interventions to improve their use of the technology media. Project awards are generally for one to three years. Eligible institutions include profit and nonprofit public and private agencies, institutions, and organizations.

In FY 1996, 52 awards were made to caption and distribute videos, 22 to caption television programs, and seven to support cultural experiences for deaf and hard of hearing individuals, including one for the National Theater of the Deaf. Five video description awards were made, and one award was made to Recordings for the Blind and Dyslexic, Inc. More than $12 million was spent on captioning– related activities, and more than $5 million was spent on recording and description activities.

C. Program Performance—Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. Eighteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1996).
3. Analysis of Demand for Decoders of Television Captioning for Deaf and Hearing-Impaired Children and Adults (Washington, DC: Pelavin Associates, Inc., April 1989).

VI. Contacts for Further Information

Program Operations:	Ernest Hairston, (202) 205-9172 TDD (202) 205-8170
Program Studies:	Tracy Rimdzius, (202) 401-1958

Special Studies
(CFDA No. 84.159)

I. Legislation

Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, Section 618 (20 U.S.C. 1418), expired September 30, 1995; operated under the authorization of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$1,735,000	1988	$3,638,000
1980	1,000,000	1989	3,594,000
1981	1,000,000	1990	3,55,000
1982	480,000	1991	3,904,000
1983	480,000	1992	4,000,000
1984	3,100,000	1993	3,855,286
1985	3,100,000	1994	3,855,000
1986	3,170,000	1995	5,160,000
1987	3,800,000	1996	3,827,000

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the Special Studies Program are to assess progress in the implementation of the Individuals with Disabilities Education Act; assess the effectiveness of state and local efforts to provide free and appropriate public education to all children and youth with disabilities, and early intervention services to infants and toddlers with disabilities; provide Congress with information relevant to policy making; and provide federal, state, and local agencies with information relevant to program management, administration, and effectiveness.

B. Strategies to Achieve the Goals

Services Supported

Awards may be made to state and local education agencies, institutions of higher education, public and private, nonprofit organizations, and private, for-profit organizations when necessary because of the unique nature of the study.

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The Special Studies Program conducts evaluation studies, including studies to assess (1) state and local programs in serving infants, toddlers, children, and youth with disabilities; (2) educational outcomes of students with disabilities including status of high school exit (i.e., graduation or dropping out); and (3) the effect of education reforms on the achievement of disabled students.

Funded projects in FY 1995 and FY 1996 included the following:

- The Center for Special Education Finance (CSEF) published policy briefs on a range of issues, such as the resource implications of inclusion, the removal of incentives for restrictive placements, a historical perspective of fiscal provisions of the IDEA, fiscal issues related to the reauthorization of the IDEA, the cost-effectiveness of prereferral intervention services, and the consolidation of special education funding and services. CSEF also worked on development of a core database for resource and cost analyses, and descriptions of state funding systems.

- The National Center on Educational Outcomes (NCEO) worked with federal and state agencies to facilitate and enrich the development and use of indicators of educational outcomes for students with disabilities. Goals of the NCEO were (1) to develop a model of educational outcomes that are appropriate for all students, including students with disabilities; (2) to respond to issues in assessing results of education for students with disabilities; and (3) to summarize information from existing data collection programs on the results of education for students with disabilities. NCEO worked with standard-setting groups and with states to develop their educational standards, to explore ways in which these standards apply to students with disabilities, and to identify ways in which they might be modified to be appropriate for all students. NCEO worked with the National Center for Education Statistics (NCES) on the inclusion of students with disabilities in the National Assessment of Educational Progress (NAEP), and with many states in their attempts to increase the participation of students with disabilities in their statewide assessment programs.

- A study of state and local education efforts to implement the transition requirements in IDEA examined policies, procedures, and practices associated with transition services. The intent was to identify barriers to effective implementation and to evaluate the impact of transition services on student outcomes.

- Other federal evaluation studies included a five-year longitudinal study of the impact of early intervention services on infants and toddlers with disabilities and a longitudinal study of preschool children and their families.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

1. Eighteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1996).
2. Seventeenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1995).
3. Individuals with Disabilities Education Act: Program Funded Activities: Fiscal Year 1995 (Washington, DC: U.S. Department of Education, 1995).
4. Program files.

VI. Contacts for Further Information

Program Operations:	Lou Danielson, (202) 205-8119
Program Studies:	Susan Sanchez, (202) 401-1958

Secondary Education and Transitional Services for Youth with Disabilities
(CFDA No. 84.158)

I. Legislation

Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part C, Section 626 (20 U.S.C. 1425), expired September 30, 1995; operated under the authorization of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$6,000,000	1991	$14,639,000
1985	6,330,000	1992	19,000,000
1986	6,316,000	1993	21,966,000
1987	7,300,000	1994	21,966,000
1988	7,372,000	1995	23,966,000
1989	7,284,000	1996	23,966,000
1990	7,989,000		

III. Analysis of Program Performance

A. Goals and Objectives

This program is intended to strengthen and coordinate education and related services for youth with disabilities who are currently in school or who recently left school, to help them make the transition to postsecondary education, vocational training, competitive employment (including supported employment), continuing education, independent and community living, or adult services; to stimulate the development and improvement of programs for special education at the secondary level; and to stimulate the improvement of the vocational and life skills of students with disabilities to better prepare them for the transition to adult life and services.

B. Strategies to Achieve the Goals

Services Supported

Awards are authorized to institutions of higher education, state education agencies, local education agencies, and other appropriate public and private, nonprofit institutions and agencies. This program serves as a primary source of support and assistance to states implementing the transition services requirements of IDEA. Activities supported in FY 1995 included annual funding for 34 states (under five-year cooperative agreements) to improve transition services for youth with disabilities; evaluation and technical assistance for states implementing cooperative projects to improve transition services; technical assistance to inform personnel responsible for transition services and school-to-work opportunities projects on the most effective methods for promoting the

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transition of youth with disabilities to gainful employment, postsecondary education, and independent living; and model demonstration projects to identify and develop alternatives for youth with disabilities who have dropped out of school (or are at risk of dropping out).

C. Program Performance—Indicators of Impact and Effectiveness

Information on the transition experiences of youth with disabilities in secondary school and beyond is provided through the National Longitudinal Transition Study, which is following a sample of more than 8,000 youth who were ages 13 through 21 and secondary school students in special education in the 1985-86 school year.

This study contains multiple indicators of performance, including information on the population receiving transitional services (disability, gender, ethnicity, functional ability, household composition, socioeconomic status, age, school status, and grade level), services provided, and program outcomes such as course taking, placements, performance, school completion, social activities, personal and residential independence, employment, postsecondary enrollment, and productive engagement.

In the 1990-91 school year, more than half of youth with disabilities who left secondary school in a two-year period did so by graduating (56 percent), and three-fourths of those graduates were reported by their schools to have been awarded regular diplomas. However, almost one-third of those with disabilities who left school dropped out of school (32 percent), a significantly higher dropout rate than for the general population of youth.

Youth who graduated from high school and took vocational education in their last year in high school, or had work experience as part of their vocational training were significantly more likely than other youth to be competitively employed after high school. Forty-six percent of youth with disabilities were reported by their parents to be employed in the summer of 1987, a substantially lower rate than for youth in the general population (59 percent).

Despite increasing opportunities for youth with disabilities to pursue education after high school, only 14 percent of youth who had been out of secondary school up to two years had enrolled in postsecondary schools in the preceding year. This rate is significantly below the rate of 56 percent for students in the general population. Enrollment was highest for youth who were deaf or visually impaired (about 33 percent of youth) and lowest for youth classified as mentally retarded, multiply handicapped, or deaf/blind (fewer than 10 percent). Postsecondary vocational/trade schools were the most commonly attended by youth with disabilities (9 percent). Only 4 percent attended a two-year or community college, and 1 percent attended a four-year college.

Twenty-two percent of youth with disabilities who had been out of secondary school between one and two years had not been engaged in any education- or work-related activities (so-called productive activities) in the preceding year. Engagement was most common for youth who were hard of hearing, learning disabled, or deaf, and lowest for those with multiple handicaps.

The foregoing data are based on the 1990-91 school year, prior to the implementation of the State System for Transition Services Program, which currently supports 30 projects. The intent of the state projects is to improve access to necessary transition services for all youth with disabilities by facilitating interagency cooperation. Together with the model demonstration projects supported under the Secondary Education and Transitional Services for Youth with Disabilities Program, more school districts are implementing exemplary transition services that will improve student outcomes.

IV. Planned Studies

None.

V. Sources of Information

1. Sixteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1994).

2. Individuals with Disabilities Education Act: Program Funded Activities: Fiscal Year 1995 (Washington, DC: U.S. Department of Education, 1995).

3 Youth with Disabilities: How Are They Doing? (Menlo Park, CA: SRI International, 1991).

4. Dropouts with Disabilities (Menlo Park, CA: SRI International, 1991).

5. What Happens Next? Trends in Postsecondary School Outcomes of Youth With Disabilities (Menlo Park, CA: SRI International, 1992).

6. Program files.

VI. Contacts for Further Information

Program Operations:	Michael Ward, (202) 205-8163
Program Studies:	Susan Sanchez, (202) 401-1958

Program for Children with Serious Emotional Disturbance
(CFDA 84.237)

I. Legislation

Individuals with Disabilities Education Act (IDEA), Part C, Section 627, as amended, (20 U.S.C. 1426), expired September 30, 1995, operated under the authorization of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation
1991	$1,952,000
1992	4,000,000
1993	4,146,560
1994	4,146,560
1995	4,147,000
1996	4,147,000

III. Analysis of Program Performance

A. Goals and Objectives

This program supported grants to improve special education and related services to children and youth with, or at risk of, serious emotional disturbance (SED). Projects included demonstration of innovative approaches; facilitation of interagency and private sector resource pooling; and training or dissemination of information to parents, service providers, and other appropriate people.

B. Strategies to Achieve the Goals

Services Supported

Effectively serving and meeting the needs of children and youth with SED and their families is a national problem and concern.

During the 1994-95 school-year, approximately 428,000 children and youth with serious emotional disturbance, ages 6 to 21, were served under Part B (IDEA) programs. These students represented 8.7 percent of the total population of students with disabilities in 1994-95, up from 7.5 percent in 1976-77 (V.1 and 2). Despite this increase in population served, there is concern that students with serious emotional disturbance are underidentified because some characteristics of serious emotional disturbance, such as withdrawal or depression, may be easily overlooked in school settings. In addition, some parents and professionals may be reluctant to classify a child with the serious emotional disturbance label because they often view it as pejorative.

This program funded multiple activities aimed at preventing the development of SED among children and youth with emotional and behavioral problems, collaborative demonstration models to improve services and prevention efforts, and research on effective practices for high-school age students with SED.

Types of projects supported under this program included research, development, and demonstration projects. Eligible applicants were state and local education agencies, and other appropriate public and private, nonprofit institutions or agencies. In FY 1996 the SED program funded 6 new and 12 continuing activities.

Two of the new awards were funded for nondiscriminatory, culturally competent, collaborative demonstration models to improve services for children with serious emotional disturbance, and prevention services for students with emotional and behavioral problems. Three new projects were funded for developing effective secondary school-based practices for youth with serious emotional disturbance. One new project was funded for a center to promote collaboration and communication of effective practices for children with, or at risk of serious emotional disturbance.

C. Program Performance—Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

1. Eighteenth Annual Report to Congress on the Implementation of The Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1996).

2. Program files.

VI. Contacts for Further Information

Program Operations:	Tom Hanley, (202) 205-8110
Program Studies:	Daphne Hardcastle, (202) 401-7949

Grants for Parent Training
(CFDA No. 84.029)

I. Legislation

Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part D, Section 631(e) (20 U.S.C. 1431)(e), expired September 30, 1995, extended through March 31, 1997.

II. Funding History

Fiscal Year	Appropriation
1991	$ 9,758,873
1992	12,000,000
1993	12,400,000
1994	12,735,000
1995	13,534,000
1996	13,534,000

III. Analysis of Program Performance

A. Goals and Objectives

This program supports grants to provide training and information to parents of children with disabilities and persons who work with parents, to enable them to participate more effectively with professionals in meeting the educational and early intervention needs of children with disabilities.

B. Strategies to Achieve the Goals

Services Supported

Grants were awarded to private, nonprofit organizations that are (1) governed by a board of directors of whom a majority are parents were children with disabilities, or (2) have members who represent the interests of individuals with disabilities and establish a governing committee of whom a majority of members are parents of children with disabilities. Grants were targeted to parents of children in both urban and rural areas or on a state or regional basis. Grantees must serve parents of minority children at least in proportion to their representation in the population to be served.

In FY 1996, funds under this authority were used for the following activities:

- Parent Training and Information Centers ($12,381,000: 17 new grants and 50 continuation grants). These projects provided support for parent training and information designed to assist parents of infants, toddlers, children, and youth with disabilities, and to assist other persons who work with parents to enable parents to participate more fully and effectively with professionals. Services included individual meetings, workshops, and other training sessions, and distribution of publications and newsletters. More than 225,000 parents were served by the Parent Training and Information Centers in FY 1995.

- Technical Assistance to Parent Groups ($1,154,000; one continuation grant). The grant provided technical assistance in establishing, developing, and coordinating parent training and information programs. The grantee is the Federation for Children with Special Needs.

C. Program Performance--Indicators of Impact and Effectiveness

Under development.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Mary Ann McDermott, (202) 205-8876
Program Studies:	Daphne Hardcastle, (202) 401-7949

Special Institutions for Persons with Disabilities--National Technical Institute for the Deaf
(CFDA No. 84.998)

I. Legislation

Education of the Deaf Act (EDA) of 1986, as amended by Public Laws 102-421 and 103-73 (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation		Fiscal Year	Appropriation	
1970	$2,851,000		1988	$31,594,000	
1975	9,819,000	1/	1989	33,326,000	
1980	17,349,000	2/	1990	36,070,000	4/5/
1981	20,305,000		1991	37,212,000	
1982	26,300,000		1992	39,439,000	
1983	26,300,000		1993	40,713,000	
1984	28,000,000		1994	41,836,000	6/
1985	31,400,000		1995	43,191,000	7/
1986	30,624,000	3/	1996	42,180,000	8/
1987	32,000,000				

1/ Includes $1,981,000 for construction.
2/ Includes $2,729,000 for construction.
3/ Includes $1,400,000 for construction.
4/ Includes $ 476,000 for construction.
5/ Includes $ 888,000 for projects to serve low-functioning persons who are deaf, to be administered by the Rehabilitation Services Administration.
6/ Includes $ 351,000 for construction.
7/ Includes $ 193,000 for construction.
8/ Includes $ 150,000 for construction.

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to promote the employment of individuals who are deaf or hearing-impaired by providing technical and professional education for the nation's youth who are deaf or hearing-impaired. The National Technical Institute for the Deaf (NTID) also conducts applied research and offers training in occupational and employment-related aspects of hearing loss, including communication assessment and instruction, and education and cognition.

B. Strategies to Achieve the Goals

Services Supported

NTID offers certificates, diplomas, and associate degrees in 35 technical programs related to business, science and engineering technology, and visual communications. These include majors such as accounting, applied art and computer graphics, applied computer technology, and photo/media technologies. NTID students may also participate in some 200 educational programs available through the other seven colleges of the Rochester Institute of Technology (RIT). RIT offers technological studies at the bachelor's and master's degree levels. The association of NTID with RIT provides deaf students with a wider choice of career preparation options than could be provided by a national technical institute for the deaf standing alone. NTID provides support services and special programs for students in NTID or RIT programs who are deaf. These services include tutoring, counseling, notetaking, interpreting, provision of special education media, and programs such as cooperative work experience and specialized job placement.

Strategic Initiatives

In accordance with the EDA Amendments of 1992, the Department reviewed and determined the need to modify the existing agreement with RIT for the operation of NTID. The 1992 Amendments contained a number of provisions to improve the efficiency and effectiveness of NTID operations and enables the Department to monitor and evaluate the institute's programs and activities.

In FYs 1990 and 1991, NTID developed a strategic plan for its future operations. The plan includes a thorough review and evaluation of current curricula, programs, and courses. The result has been the elimination of some programs and the development of new academic offerings to provide students with comprehensive state-of-the art educational opportunities and preparation. A major administrative restructuring has been another positive result of the plan. The strategic plan was implemented institution wide in FY 1992 and is under continuous review and evaluation.

C. Program Performance—Indicators of Impact and Effectiveness

The Office of Special Institutions (OSI) is providing guidance and technical assistance to NTID in developing its performance measures, and ensuring that NTID adheres to Department reporting format and requirements.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. The Education of the Deaf Act of 1986 as amended by P.L. 102-421 and 103-73.

3. National Technical Institute for the Deaf, a College of Rochester Institute of Technology, 1995 and 1996 Annual Reports.

4. Deaf Education: Improved Oversight Needed for National Technical Institute for the Deaf (December, 1993, General Accounting Office, GAO/HRD-94-23).

5. Deaf Education: Cost and Student Characteristics at Federally Assisted Schools (February 14, 1986. General Accounting Office, GAO/HRD-86-64BR).

6. Educating Students at Gillett and the National Technical Institute for the Deaf (March 22, 1985, General Accounting Office, GAO/HRD-85-34).

VI. Contacts for Further Information

Program Operations:	Ramon F. Rodriguez, (202) 205-8555
Program Studies:	Michael Fong, (202) 401-7462

Special Institutions for Persons with Disabilities
American Printing House for the Blind (APH)
(CFDA No. 84.998)

I. Legislation:

Act to Promote the Education of the Blind of March 3, 1879 (20 U.S.C. 101 et seq.) (no expiration date).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$865,000	1988	$5,266,000
1970	1,404,000	1989	5,335,000
1975	1,967,000	1990	5,663,000
1980	4,349,000	1991	6,136,000
1981	4,921,000	1992	5,900,000
1982	5,000,000	1993	6,298,000
1983	5,000,000	1994	6,463,000
1984	5,000,000	1995	6,680,000
1985	5,500,000	1996	6,680,000
1986	5,263,000	1997	6,680,000
1987	5,500,000		

Note: Excludes a permanent appropriation of $10,000 for all years; reflects enacted supplementals, rescissions, and reappropriation.

III. Analysis of Program Performance

The purpose of the American Printing House for the Blind (APH) is to provide high-quality special educational materials to legally blind persons enrolled in educational or vocational training programs below the college level. Materials are manufactured and made available free of charge to schools and states through proportional allotments that reflect the number of blind students in each state.

A. Goals and Objectives

The goal is to produce and distribute educational materials adapted for students who are legally blind and enrolled in formal educational programs below the college level. The APH has submitted to the Department four primary objectives based on its strategic plan: (1) improving the efficiency and timeliness of production and distribution activities; (2) conducting research and development activities responsive to consumer needs; (3) increasing APH's market share of materials produced for individuals who are blind; and (4) increasing the number of APH's revenue sources to establish a sustainable resource base.

B. Strategies to Achieve the Goals

Services Supported

APH maintains an extensive inventory of special educational materials for the blind--such as textbooks in braille and large type, and in recorded form; tangible teaching devices; microcomputer hardware and software; educational tests and performance measures; and special instructional aids, tools, and supplies necessary for the education of students who are blind. The materials are distributed to programs serving individuals who are blind through allotments to the states. The allotments are based on an annual census conducted by APH of the number of students who are legally blind in each state and are provided in the form of credits. State education agencies and programs serving persons who are blind may order materials free of charge up to the amount of funds allocated to each state for educational materials. APH provides advisory services for consumers, including visits and consultations to approximately 20 agencies or programs each year, to inform administrators and teachers about available materials and how to use them. In addition, APH conducts basic and applied research to develop new educational materials for use in educating students who are blind.

Items to be produced and distributed by the APH are reviewed and approved by two standing committees whose members are selected from APH's ex officio trustees. One committee determines the need for new publications, and the other oversees research and development activities. The purpose of those committees is to ensure that all educational materials produced and research undertaken meet the needs of students who are blind. In the research and development category, APH conducts basic and applied research necessary to develop and improve instructional materials in areas such as braille, reading, science, mathematics, and social studies, or to adapt testing materials related to these subject areas. Special materials are developed for use in teaching students who are blind and have additional disabilities and in areas such as early childhood, prevocational training, microcomputer applications, and the functional use of residual vision.

C. Program Performance—Indicators of Impact and Effectiveness

The Office of Special Institutions (OSI) is helping, APH to develop performance measures and technical assistance that adhere to the Departments reporting format.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Study of the American Printing House for the Blind: Parental Perspectives on Services for the Visually Impaired Washington, D.C., Pelavin Associates, October, 1990).

3. American Printing House for the Blind Annual Reports for Fiscal Years 1995 and 1996.

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VI. Contacts for Further Information

Program Operations:	Ramon F. Rodriguez, (202) 205-8555 Fran Parrotta, (202) 205-8196
Program Studies:	Michael Fong, (202) 401-7462

Special Institutions for Persons with Disabilities
Gallaudet University (GU)
(CFDA No. 84.998)

I. Legislation:

Education of the Deaf Act (EDA) of 1986, as amended by Public Laws 102-421 and 103-73 (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 6,400,000 1/	1988	$65,998,000
1975	35,595,000 2/	1989	67,643,000
1980	48,768,000 3/	1990	67,643,000
1981	49,768,000 4/	1991	72,262,000 6/
1982	52,000,000 5/	1992	76,540,000 7/
1983	52,000,000	1993	77,589,000 8/
1984	56,000,000	1994	78,435,000 9/
1985	58,700,000	1995	80,030,000
1986	59,334,000	1996	77,629,000
1987	62,000,000		

1/ Includes $ 1,218,000 for construction.
2/ Includes $18,213,000 for construction.
3/ Includes $10,730,000 for construction.
4/ Includes $ 6,594,000 for construction.
5/ Includes $ 1,600,000 for construction.
6/ Includes $ 2,440,000 for construction.
7/ Includes $ 2,500,000 for construction.
8/ Includes $ 2,455,000 for construction.
9/ Includes $ 1,000,000 for construction.

III. Analysis of Program Performance

A. Goals and Objectives

The goals of Gallaudet University are to provide elementary and secondary education programs for students who are deaf; college-preparatory, undergraduate, and continuing education programs for persons who are deaf or hearing-impaired; graduate programs for both hearing and deaf persons; and public service programs for persons who are deaf or hearing-impaired and for persons who work with these individuals.

B. Strategies to Achieve the Goals

Services Supported

Gallaudet University, which is a private, nonprofit educational institution, provides a wide range of educational opportunities for persons who are deaf or hearing-impaired, from the elementary through postsecondary levels. It conducts a wide variety of basic and applied research, and provides public service programs for persons who are deaf or hearing-impaired and for professionals who work with persons who are deaf or hearing-impaired. To increase the effectiveness of its instructional programs, the university provides a variety of support services, including: communications training, counseling, social services, speech and audiological services, physical and occupational therapy, educational assessment and evaluation, family education, and medical services.

Strategic Initiatives

During FY 1995, Gallaudet University implemented a strategic plan, Vision Implementation Plan (VIP), that will guide the university's planning and determine the focus and direction of the university's activities for the rest of the decade.

As a requirement of the 1992 Education of the Deaf Act (EDA) Amendments, the Department and the university completed an agreement governing the operation and national mission activities of the Kendall Demonstration Elementary School and the Model Secondary School for the Deaf. In addition, the university, with technical assistance from Office of Special Education and Rehabilitative Services (OSERS), developed and implemented policies and procedures to comply with the provisions and requirements of the Individuals with Disabilities Education Act (IDEA), Part B.

The university developed and implemented a national mission plan that charted the course of change and provided a guide to the restructuring of the demonstration schools. The plan emphasizes the need for collaboration with the schools and other divisions of the university and with schools and programs throughout the United States to raise the academic achievement levels of deaf and hearing-impaired students. The National Mission Programs (NMPs) are working with programs across the nation to develop, evaluate, and disseminate innovative curricula, materials, and instructional strategies that are applicable in a variety of educational environments. NMPs provide training, technical assistance, and outreach to meet the needs of parents of children who are deaf and hearing-impaired and of persons working with such students. The NMPs, through input from the National Advisory Panel (NAP), determine and publicize research priorities through a process that allows for public input, and disseminate information and follow-up services to ensure that they meet the needs of constituents as mandated by EDA Amendments.

C. Program Performance–Indicators of Impact and Effectiveness

The Office of Special Institutions (OSI) is providing guidance and technical assistance to the university in developing its performance measures and ensuring that the university adheres to the Department's reporting requirements and format.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. The Education of the Deaf Act of 1986 as amended by P.L. 102-421 and 103-73.

3. Review of Accounting and Budgeting Processes at Gallaudet University; Gallaudet University: A Comparative Analysis; and Gallaudet University Annual Budget Request Package (Washington, DC: Ernst and Young, August 1993).

3. Vision Implementation Plan-Steering Committee Recommendations: Report to the Vice President for Academic Affairs (Gallaudet University, December 1994).

5. Gallaudet University Annual Reports for Fiscal Years 1995 and 1996.

6. Gallaudet University Pre-College National Mission Plan, February 1996.

VI. Contacts for Further Information

Program Operations:	Ramon Rodriguez, (202) 205-8555 Fran Parrotta, (202) 205-8196
Program Studies:	Michael Fong, (202) 401-7462

Technology, Educational Media, and Materials for Individuals with Disabilities Program (CFDA No. 84.180)

I. Legislation

Individuals with Disabilities Education Act, Part G, as amended, (20 U.S.C. 1461, 1462) expired September 30, 1995; operated under the authority of the appropriations act in FY 1996.

II. Funding History

Fiscal Year	Appropriation
1987	$ 4,696,000*
1988	4,787,000
1989	4,730,000
1990	5,425,000
1991	5,593,000
1992	10,000,000
1993	10,862,000
1994	10,862,000
1995	10,862,000
1996	9,993,000

*The Education of the Handicapped Act Amendments of 1986, P.L. 99-457, created this new authority under which activities related to special education technology are funded. Previously, these activities were funded through the Media and Captioning Services program.

III. Analysis of Program Performance

A. Goals and Objectives

This program supported projects and centers that advanced the availability, quality, use, and effectiveness of technology, educational media, and materials in educating children and youth with disabilities and in providing early intervention services to infants and toddlers with disabilities.

B. Strategies to Achieve the Goals

Services Supported

Grants were awarded to institutions of higher education, state and local education agencies, or other appropriate agencies or organizations to assist the public and private sectors to conduct research and development for improving the quality and use of technology, assistive technology, media, and materials for the education of persons with disabilities; to disseminate information on the

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the availability and use of new technology, assistive technology, media, and materials for such persons; to design and adapt new technology, media, and materials that will improve the education of individuals with disabilities. All recipients of funds under this program agree to coordinate, as appropriate, with the State entity reviewing funds under Title I of the Technology Related Assistance for Individuals with Disabilities Act of 1988 (29 U.S.C.A 2211 et. seq.)

In FY 1996 the following awards were made: 13 new grants, 21 continuation grants, 1 continuation cooperative agreements, and 1 continuation contract. The Office of Special Education and Rehabilitative Services also supported 41 research projects under the Small Business Innovative Research program.

C. Program Performance—Indicators of Impact and Effectiveness

None. Performance indicators are being developed for successor programs authorized by the IDEA Amendments of 1997.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Ellen Schiller, (202) 205-8123
Program Studies:	Daphne Hardcastle, (202) 401-7949

Early Intervention Program
for Infants and Toddlers with Disabilities
(CFDA No. 84.181)

I. Legislation

The Individuals with Disabilities Education Act, P.L. 102-119, Part H, as amended (20 U.S.C. 1471-1485) (expired September 30, 1995; operating under reauthorization of the appropriations acts).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1987	$50,000,000	1992	$175,100,000
1988	67,018,000	1993	213,280,000
1989	69,831,000	1994	253,152,000
1990	79,520,000	1995	315,632,000
1991	117,106,000	1996	315,754,000

III. Analysis of Program Performance

A. Goals and Objectives

In 1986 Congress expanded support for early intervention by creating the Infants and Toddlers with Disabilities Program, authorized under Part H of the Individuals with Disabilities Education Act (IDEA). The Part H program promotes a comprehensive approach to meeting the needs of infants and toddlers with disabilities. Today, about 150,000 infants and toddlers birth through age 2 and their families are receiving early intervention services under Part H. This formula grant program helps states implement statewide systems of coordinated, comprehensive, multidisciplinary interagency programs. Under the program, states are responsible for ensuring that services are provided to all infants and toddlers (through age 2) with disabilities, including Indian children and their families living on reservations with Department of the Interior schools. Currently, all states and outlying areas are implementing this program.

The Improving America's School Act (IASA) of 1994 merged the Chapter 1 Handicapped Program with Part B and Part H of IDEA. (Part H funds the Preschool Grants for Children with Disabilities Program.) While the majority of Chapter 1 Handicapped Program funds was rolled into Part B, the IASA included a number of provisions to ensure that eligible children under Part H would not be adversely affected. The hold-harmless provision was the most significant one. This provision states that for FYs 1995 through 1997, no state may receive less than the combined total it received in FY 1994 for infants and toddlers, from birth through age 2, under the Chapter 1 Handicapped Program and the IDEA Part H Early Intervention Program. However, in FYs 1998 or 1999, if the

total number of infants and toddlers from birth through age 2 in a state declines below the number reported for FY 1994, the hold harmless amount would be reduced by the same percentage. For 1995, $34 million of the Part H appropriation was distributed based on the count of infants and toddlers up through age 2 on December 1, 1994, who would have been eligible to participate under the
Chapter 1 Handicapped Program.

B. Strategies to Achieve the Goals

Services Supported

Funds allocated under the Part H program can be used to develop and implement the statewide system; to fund direct services that are not provided by other public or private sources; and to expand and improve on services that are available. To be eligible for a grant, a state must have a statewide system that includes 14 statutory components, a lead agency designated with the responsibility for the coordination and administration of funds, and a state Interagency Coordinating Council to advise and assist the lead agency. Each state designs an interagency system of services that reflects the unique characteristics of that state to meet the developmental needs of infants and toddlers with disabilities. In a typical state, more than half-a-dozen state agencies participate in the financing and delivery of early intervention services under the Part H umbrella. Families are integrally involved in the design and implementation of each child's services. Allocations are based on the number of infants and toddlers through age 2 in the general population. Funds for this program are provided on a forward-funded basis.

Strategic Initiatives

The Department's proposed amendments to the IDEA focus on strengthening early intervention to help ensure that every child starts school ready to learn. While states have made tremendous progress in implementing their statewide systems under Part H, at least two major challenges remain. The first challenge is to ensure that all infants and toddlers with disabilities are receiving services. Under current law, states must serve infants and toddlers who have diagnosed physical or mental conditions that have a high likelihood of resulting in delay, and infants and toddlers who experience a delay in one or more developmental domains. States also may provide services to infants and toddlers who are at risk of developing delays.

In implementing Part H, each state has created its own definition of developmental delay; therefore, variation in eligibility exists across the country. Many parents and professionals have expressed concern that this situation may lead to the under identification of infants and toddlers with disabilities and their families who could clearly benefit from Part H services.

The second challenge is to help prevent developmental delays by expanding the inclusion of at-risk infants and toddlers within the Part H comprehensive system of services. Currently, states have the option to define and serve infants and toddlers at risk of developmental delay as part of their eligible population. However, if they choose to serve at risk infants and toddlers, the state must provide them with a full array of early intervention services. That is, all eligible, at risk infants and toddlers are entitled to every early intervention service which they needs. Because the states do not have flexibility in deciding which services they will make available to the population of at-risk infants and toddlers, few states have chosen to serve at-risk children under the Part H program.

The Department's proposals for the reauthorization of the IDEA include provisions that:

- Require the Federal Interagency Coordinating Council (FICC) to convene a panel of experts to develop recommendations to the Secretary of Education for a national definition of the term "developmental delay." After receiving the panel's recommendations, the Secretary could propose a definition of "developmental delay" or provide guidance to the states on this issue.

- Permit states to serve infants and toddlers at risk of developmental delay with less than the full array of services, so long as they provide at least coordination of services. If, at any point, a child is determined, under the state's definition, to be a child with a disability, the child and family would have access to the full range of services.

C. Program Performance— Indicators of Impact and Effectiveness

Performance indicators for the IDEA Part H program are being developed at this time.

Evaluation Findings

Serving infants and toddlers at risk of having a substantial developmental delay.

A number of agencies, including state health departments, are examining and establishing neonatal screening programs to identify hearing impairment early in newborn and young children. The Ohio Department of Health, in collaboration with the Appalachia Educational Laboratory (AEL), examined whether Ohio's Infant Hearing Screening and Assessment Program (IHSAP) could be evaluated, and what the best methods for doing so are. A feasibility study was funded under the State Agency Federal Evaluation Studies (SAFES) program, authorized by Section 618 of IDEA. The purpose of the study was to determine and describe the best methods for evaluating the ability of the IHSAP program to identify infants who are hearing impaired and to enroll these infants into early intervention services.

The feasibility study concluded that the most appropriate design for a full evaluation appears to be a retrospective approach. Although no clear source for identification of confirmed hearing loss exists in the present system, a reporting mechanism added to the program for census identification of confirmed hearing loss seems comprehensive, appropriate, and feasible. The data suggest that this information could be collected from service providers who conduct diagnostic hearing evaluations.

Meeting the needs of infants and toddlers and their families through coordinated, comprehensive services.

The Hawaii Department of Health (DOH) Zero-to-Three (ZTT) Project, in collaboration with the Hawaii University Affiliated Program, conducted a SAFES feasibility study to determine the best way to identify the needs of families who are involved the Part H Early Intervention Program under IDEA, Part H. The objectives of this feasibility study were to create operational definitions of family culture, family needs, program responses, and the extent to which needs were met; determine the best way to document these variables; estimate the feasibility and expense of acquiring information on these variables; and identify the specific evaluation questions to be addressed with reasonable expenditure of resources and methods of analysis to maximize the validity and usefulness of the results.

Study Findings. The primary value of this feasibility study has been to identify issues that need further research and analysis. The major findings are as follows:

- Analysis of the literature of results of group interviews indicate that a combination of the early intervention and the psychotherapeutic types of evaluation would be necessary to document effectiveness of staff and family interaction; and

- In the area of data collection, the many needs that programs and families are identifying and addressing are not always recorded in recoverable forms. As a result, planners do not have access to data on the categories and frequencies of family needs.

The Michigan Department of Education, in conjunction with the Merrill-Palmer Institute at Wayne State University, carried out a SAFES evaluation to examine the barriers to full implementation of Part H in Michigan. The study also examined the resources that could be used in addressing these obstacles, and developed recommendations on alternative strategies that might be pursued to overcome these barriers. Survey respondents perceived the greatest barriers in two of six major areas: program service delivery in local communities and interagency coordination functions. Specific impediments to implementation are: (1) inadequate numbers of program staff; (2) insufficient funds to support needed services; (3) lack of readily available bilingual information; and (4) inadequate coordination of programs within each of the state agencies. Variations in the degree to which respondents perceived barriers, or the degree to which they were aware of specific features of services, were often related to the respondent's agency of employment, length of employment, primary role (service provider, administrator, active parent, or current consumer parent), and residence in a metropolitan or rural area. Service providers and administrators from the lead agency (Education Department) tended to perceive fewer barriers to Part H implementation and to give fewer "don't know" responses.

Stakeholders formulated the following broad policy recommendations which, if carried out, would pave the way toward overcoming many of the barriers to Part H implementation that were identified from the surveys and work groups:

- The Special Education rules should be changed to promote greater compatibility with Part H practices, operations, and eligibility criteria;

- A transagency early intervention work structure should be formed at both the state and the local levels that would focus on promoting family driven, culturally responsive policies and practices; and

- A statewide study group should be convened to develop a strategy for creating the legislative basis for a transagency Family Centered System of Early Intervention Care. This process might result in the development of an entirely new Transagency Family Centered Care Act, or in changing specific provisions of existing legislation that conflict with Part H philosophy and practice.

States serve all infants and toddlers with developmental delays, or with diagnosed physical or mental conditions that have a high probability of resulting in a developmental delay.

The Hawaii Department of Health Zero-to-Three Project, Early Intervention Coordinating Council, and the University of Hawaii are currently collaborating on a SAFES evaluation of the effectiveness of Hawaii's child find services. IDEA, Part H, requires states to implement a "child find" component, to identify eligible children and refer them to service providers. Little information is available on how the child find component required by Part H is working, either in Hawaii or nationally. The goals of this evaluation study are to describe the present child find and referral system in terms of its practices, effectiveness, and impact on program staff and families; develop a set of standards against which to evaluate the effectiveness of child find; identify gaps and barriers that impede a smooth and effective process wherever the evaluation shows that child find fails to meet the newly developed standards; recommend changes in policy and practice to improve the effectiveness of child find and referral; and develop and disseminate a model for evaluating Part H child find and referral systems.

The Lead Agency coordinates a comprehensive array of services.

The North Carolina Department of Human Resources and the Frank Porter Graham Child Development Center of the University of North Carolina at Chapel Hill collaborated on a SAFES evaluation entitled "The Effects of Smart Start on Young Children with Disabilities and Their Families" (V.7). Smart Start, North Carolina's early childhood initiative, began in 1993 with the goals of improving early childhood programs and ensuring that all North Carolina children arrive at school healthy and ready to learn. Unlike most state-funded projects, Smart Start was designed to be a bottom-up government initiative with decisions made by local community members--leaders from business, local government, education, health, social services, child care, and early intervention. Charged with devising the most locally appropriate strategies for meeting broad school readiness goals, local community planning teams receiving Smart Start funds were required by the state to form public, non-profit partnerships. Each local partnership followed a collaborative team-based process to develop plans for improving and expanding existing programs for children and their families, while creating and implementing new programs deemed necessary by local planners. Although an evaluation of Smart Start is assessing the broad effects of the initiative for *all* children and families in North Carolina, this SAFES evaluation was designed to extend the evaluation of Smart Start to include young children with disabilities and their families.

Findings from the document review of Smart Start plans indicate that counties allocated from 0 to 12 percent (M = 3.13 percent) of their total Smart Start funds for activities targeting children with special needs and their families.

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Extant infant-toddler (Part H) databases maintained by the North Carolina Center for Health Statistics were accessed to examine the location, nature, and intensity of early services across time for families residing in Smart Start and other counties. Baseline data revealed that the majority of children in the infant-toddler program were categorized as developmentally delayed (66 percent) and were receiving services primarily in home-based settings (82 percent). Proportions of children entering the early intervention system at baseline generally were equally distributed across all age groups, birth to 35 months.

Although the study did not detect changes in North Carolina's early intervention system that could be attributed to Smart Start, several positive overall trends emerged. Compared with previous years, children now are entering the early intervention system at younger ages and a higher proportion of children are being identified as at risk for disabilities because of environmental conditions, suggesting a heightened commitment to primary prevention efforts.

The study also investigated the quality of inclusive early childhood settings. Data were collected on 184 child care centers in Smart Start counties in North Carolina to assess the quality of programs that enrolled children with disabilities and compare it with the quality of programs that enrolled only typically developing children. Of the 184 child care centers, 64 (35 percent) enrolled at least one child (birth to age 5) with disabilities. Overall, direct observations of child care classrooms revealed that programs that enrolled children with disabilities provided higher quality care and education than those that enrolled only typically developing children. Moreover, teachers from classrooms that enrolled children with disabilities rated themselves as being more knowledgeable and skilled in working with children with disabilities and as having fewer training needs in this area than did teachers from classrooms that enrolled only typically developing children.

These findings may be interpreted in several ways. Parents and service providers may seek out the highest quality child care centers as places for young children with disabilities. Alternatively, centers that enroll children with disabilities may attract additional training resources such as curriculum materials or consultation with specialists. Evaluation efforts should continue to document the number of children with disabilities who are enrolled in regular child care and preschool programs to provide a yearly estimate of the prevalence of inclusive programming in North Carolina. At the same time, evaluation efforts should continue to monitor the quality of inclusive programming for young children with disabilities who are enrolled in these settings.

The study also assessed family perceptions of inclusion and early intervention. This component of the evaluation used a set of rating scales to examine parents' attitudes and beliefs toward early childhood inclusion, their perceived needs for services and satisfaction with those services, and the extent to which parents participated in making decisions about placement and the types of services they received. Although parents' ratings did not vary over time as a function of Smart Start, several factors did emerge as explanatory variables. Consistent with previous research, parents of children enrolled in inclusive programs viewed inclusion more favorably than did parents of children enrolled in segregated settings. New findings emerged with respect to parents' involvement in decision making and their perceptions of early intervention services. In general, parents who reported having choices and being involved in making decisions about the services they received also reported more favorable attitudes toward inclusion and fewer difficulties in handling a child with disabilities.

IV. Planned Studies

Longitudinal Study of the Impact of Early Intervention Services on Infants and Toddlers with Disabilities. The Department is conducting a five-year longitudinal study of the impact that Part H of the Individuals with Disabilities Education Act has on children, families, and service providers. The major goals of the evaluation are to (1) compare and evaluate different patterns of child development related to long-term outcomes for children and their families; (2) assess the effects of socioeconomic, demographic, and health related variables on long-term developmental and behavioral characteristics of the children; (3) isolate and explain the long-term effects of intervention on children and their families; (4) incorporate factors related to medical variables (e.g., psychological, physiological, and anatomical structure or function), personal functioning variables, and the interaction of the environment with these variables that could result in a limitation or prevention in the fulfillment of an age-appropriate role; (5) incorporate family variables, including family background and the need for service; and (6) provide information on services, service-providers, and the appropriateness of particular service settings.

The Administration's reauthorization proposal includes a provision for an up to 5 percent set-aside of the formula grant programs, a portion of which would be used to carry out a national assessment of the implementation of IDEA. A part of the national assessment would address issues relating to the Part H program, including how well schools, local education agencies, and states are (1) helping children with disabilities make successful transitions from early intervention services to preschool education, from preschool education to elementary school, and from secondary school to adult life; and (2) coordinating services provided under IDEA with each other, with other educational and pupil services, and with health and social services funded from other sources.

Another part of the national assessment would provide summary indicators and detailed information to OSEP on the implementation of the Part H program. The project would obtain a random sample of infants and toddlers currently served in Part H in a similar fashion to that collected for the first year of the current Part H Longitudinal Study (PHLS). From this sample, information would be obtained on parents' satisfaction and other outcomes related to the Part H program. With the PHLS first year as a base, the customer study would allow for the monitoring of change over time, and for the use of such information as indicators of program effectiveness.

V. Sources of Information

1. Seventeenth Annual Report to Congress on the Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1995).

2. Eighteenth Annual Report to Congress on the Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1996).

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3. "Evaluation of the Ohio Infant Hearing Screening and Assessment Program" (Ohio Department of Health, FY 1993).

4. "A Feasibility Study for an Evaluation of Family needs in Early intervention" (Hawaii Department of Health, FY 1993).

5. "Barriers and Resources Underlying Part H Implementation: A Utilization-Focused Evaluation Study" (Michigan Department of Education, FY 1991).

6. "Effectiveness of Part H Child Find" (Hawaii Department of Health, FY 1995).

7. "Smart Start: The Effects of Smart Start on Young Children with Disabilities and Their Families" (North Carolina Department of Human Resources, FY 1993).

8. Program files.

V. Contacts for Further Information

Program Operations: Ray Miner, (202) 205-9084

Program Studies: Susan Sanchez, (202) 401-0886

National Institute on Disability and Rehabilitation Research (NIDRR)
(CFDA No. 84.133)

I. Legislation

Rehabilitation Act of 1973, P.L. 93-112, Title II and Section 311(a), as amended by P.L. 99-506 (29 U.S.C. 760-762a and 777 (a)) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$20,443,000	1987	$49,000,000
1970	29,764,000	1988	51,100,000
1975	20,000,000	1989	53,525,000
1980	31,488,000	1990	54,318,000
1981	29,750,000	1991	58,924,000
1982	28,560,000	1992	61,000,000
1983	31,560,000	1993	67,238,000
1984	36,000,000	1994	68,146,000
1985	39,000,000	1995	70,000,000
1986	42,108,000	1996	70,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to enhance the ability of individuals with disabilities to be independent, employed, productive, and integrated into their communities by supporting and disseminating research that is relevant and scientifically sound.

The program supports rehabilitation research and the use of such research to improve the lives of individuals with physical and mental disabilities, especially those with severe disabilities, and provides for the dissemination of information to rehabilitation professionals, individuals with disabilities, and their families about developments in rehabilitation procedures, methods, and devices.

B. Strategies to Achieve the Goals

Services Supported

At any given time, about 500 studies are under way and 600 training sessions serving approximately 60,000 rehabilitation professionals are conducted annually. The composition of the

National Institute on Disability and Rehabilitation Research (NIDRR) program is shown in the table below.

Table 1
NIDRR Programs, Amount of Funding, and Number of Projects

	FY 1996 Funding ($millions)	Number of Projects	
		FY 1996	FY 1995
Rehabilitation Research and Training Centers	$23.5	44	47
Rehabilitation Engineering Center	10.8	16	16
Research and Demonstration	4.3	18	17
Utilization and Dissemination	3.4	8	8
Field-Initiated Research	6.7	56	52
Fellowships	0.4	10	13
Innovation Grants	0.0	0	4
Model Spinal Injury	7.0	18	18
Research Training Grants	2.6	15	12
SBIR 1/	1.6	18	18
Americans with Disabilities Act	7.5	17	17
Minority Set-aside	0.7	10	10
Other 2/	1.0	---	---
Total	70.7	230	232

1/ Small Business Innovative Research.
2/ Includes funding for field readers, consultants, conferences, and printing.

NIDRR funds research and related activities through 10 separate programs. The Rehabilitation Research and Training Centers and Rehabilitation Engineering Centers represent the largest investment of NIDRR resources. Other programs include a directed research and demonstration program, a knowledge diffusion program, field-initiated research, innovation grants, and fellowships. NIDRR is responsible for advanced training in research for physicians and other clinicians and for promoting coordination and cooperation among other federal agencies conducting rehabilitation research through an Interagency Committee on Disability Research. Congress assigned responsibility to NIDRR for supporting regional programs to facilitate the implementation of the Americans with Disabilities Act (ADA). The Congress also has directed NIDRR to maintain a program of model spinal cord injury demonstration projects.

Strategic Initiatives

In FY 1995, specific priorities were funded for Rehabilitation Research and Training Centers (RRTC) programs in the areas of independent living management, independent living policy, and peer support in long-term mental illness. Priorities were also funded for a Rehabilitation Engineering Research Center (RERC) in the area of technology for low vision, accessible telecommunications, and technology for children with orthopedic disabilities. NIDRR also funded priorities for discrete projects on accessible postsecondary education and rehabilitation and AIDS as a disability.

In FY 1996 new RRTCs were funded in vocational rehabilitation for blind and vision-impaired individuals and vocational rehabilitation for deaf and hearing-impaired individuals. A new RERC on technology for persons aging with a disability was funded.

Discrete new research and demonstration projects included physical fitness for individuals with disabilities, the emerging universe of disability, women with disabilities, and universal design.

NIDRR has established an integrated planning system for setting goals, developing priorities, and allocating resources over the next five years and beyond. Efforts are also under way to improve the quality of data available on the outcomes and effects of research supported by NIDRR.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed. No aggregate measures of the impact of research are available, but this program is able to offer many examples of research and dissemination outcomes that qualitatively improve the lives of persons with disabilities. These include the development of methods to overcome restrictions on physical mobility and the establishment of supportive practices permitting fuller participation in community life. Some data also are available about the numbers of fellows and research trainees, their subsequent careers, and their productivity.

IV. Planned Studies

NIDRR is conducting program reviews, intensive midcycle peer reviews of all of its funded Centers (RRTCs and RERCs) and large projects (Model Systems and Technical Assistance Centers). NIDRR is also undertaking various consumer satisfaction surveys.

V. Sources of Information

1. Program files.

2. Evaluation of Fellowships and Research Training Grants (contractor report).

VI. Contacts For Further Information

Program Operations:	Betty Jo Berland, (202) 205-9739
Program Studies:	Michael Fong, (202) 401-3630

Vocational Rehabilitation--Basic State Grants
(CFDA No. 84.126)

I. Legislation

Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 95-602, P.L. 98-221, P.L. 99-506, P.L. 102-52, and P.L. 103-73, Sections 100-111, (29 U.S.C. 720-731) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$225,268,000	1987	$1,277,797,000
1970	432,000,000	1988	1,376,051,000
1975	673,000,000	1989	1,446,375,000
1980	817,484,000	1990	1,524,677,000
1981	854,259,000	1991	1,628,543,000
1982	863,040,000	1992	1,783,530,000
1983	943,900,000	1993	1,873,476,000
1984	1,037,800,000	1994	1,967,630,000
1985	1,100,000,000	1995	2,043,874,000
1986	1,145,148,839	1996	2,103,762,000

III. Analysis of Program Performance

A. Goals and Objectives

The Vocational Rehabilitation (VR) Basic State Grants program provides vocational rehabilitation services to individuals with disabilities so that they may prepare for and engage in gainful employment consistent with their strengths, resources, priorities, concerns, abilities, and capabilities. Individuals with a physical or mental impairment that results in a substantial impediment to employment who can benefit in terms of an employment outcome and require VR services are eligible for assistance.

National surveys estimate that more than 21 million Americans of working age have functional limitations. Of this number about 13 million are significantly limited in the amount or kind of work they can perform and a substantial number are totally incapacitated. The number of persons eligible for VR services under the State Grants program is significantly smaller. In FY 1996, there were approximately 1,225,000 eligible persons in the VR system, which is made up of 82 state VR agencies. The Rehabilitation Act requires a state VR agency to implement an approved order of selection if it cannot serve all eligible persons and to serve first those with the most severe disabilities. Many state VR agencies are unable to meet the current demand for services and the number of state agencies that cannot serve all eligible individuals has increased; in 1996 half were operating under an order of selection.

B. Strategies to Achieve the Goals

Services Supported

Services are tailored to the specific needs of each person, and an individualized written rehabilitation program is developed jointly by a rehabilitation counselor and the individual. Federal and state funds cover the costs of a variety of vocational rehabilitation services including the following: assessment for eligibility and rehabilitation needs; counseling and guidance; vocational and other training; reader services for individuals who are blind; interpreter services for individuals who are deaf; physical and mental restoration services; transportation to obtain vocational rehabilitation services; maintenance during rehabilitation; personal assistance; employment placement; tools, licenses, equipment, supplies, and management services for vending stands or other small businesses for individuals with the most severe disabilities; rehabilitation technology services; specific post-employment services necessary to assist individuals with disabilities to maintain, regain, or advance in employment; assistance in the establishment, development, or improvement of community rehabilitation programs; and services to families of individuals with disabilities when such services contribute to their rehabilitation.

Services are delivered by 82 rehabilitation agencies in the United States, Puerto Rico, and outlying territories. Some states have separate agencies for individuals who are blind and visually impaired. Federal funds are distributed by formula based on state population and per capita income, with the state matching share being 21.3 percent.

The Rehabilitation Act Amendments of 1992 modified the eligibility criteria to speed up the eligibility determination process and to ensure that individuals were not determined to be ineligible because of the severity of their disability. The amendments have had a significant effect on the program, the most dramatic of which has been to increase the number of eligible individuals in the VR system. The eligibility rate (applicants determined eligible for the VR program as a proportion of all eligibility determinations) rose from 56.5 percent in 1992 to 72.3 percent in 1996, and the number of eligible individuals in the VR system increased 30 percent, but has since begun to stabilize. The proportion of eligible individuals with severe disabilities rose from 70 percent in 1992 to 76 percent in 1996.

C. Program Performance—Indicators of Impact and Effectiveness

As required by the Rehabilitation Act Amendments of 1992, RSA has been developing standards and indicators by which to measure adequate performance of state VR agencies. RSA plans to publish the proposed standards for comment in December 1997. The proposed standards are likely to include measures of program accessibility, high-quality employment outcomes, client satisfaction, and retention of program benefits.

Current measures of program performance are based on annually available uniform state agency reports. According to preliminary FY 1996 reports, approximately 213,300 individuals--61 percent of the total number receiving VR services whose cases closed that year--achieved an employment outcome. Of those individuals achieving an employment outcome, 78 percent were individuals with severe disabilities.

In FY 1995, 209,509 people were rehabilitated (60.4 percent), and 88 percent of them entered the competitive labor market or became self-employed. Average weekly earnings at closure ($215) for all those rehabilitated in FY 1995 (including those in homemaking occupations with no earnings) showed an increase of $173 over average earnings at the time of the individual's initial application for program services. The percentage of clients who could work full-time rose from 10.4 percent at application to 60.1 percent at closure, and the percentage for whom their own income was their primary source of support (as opposed to assistance from the government or other people) rose to 82 percent.

In recent years, the number of persons with severe disabilities who have been successfully rehabilitated has increased. In FY 1992, 133,716 persons with severe disabilities were rehabilitated (69.7 percent of all rehabilitants); in FY 1996, 165,547 (77.6 percent) were rehabilitated.

IV. Planned Studies

In 1992, the Department awarded a contract to Research Triangle Institute to conduct a multiyear longitudinal study of the VR State Grants program. In FY 1994, RTI began collecting data on about 10,000 current and former VR clients at 73 VR offices. RTI has issued two interim reports, and others will be issued in late 1997, fall 1998, and a final report in February 1999.

V. Sources of Information

1. Analysis of Program Trends and Performance in the Federal-State Vocational Rehabilitation Program (Berkeley, CA: Berkeley Planning Associates, 1989).

2. Annual Report of the Rehabilitation Service Administration for FY 1994 (Washington, DC: U.S. Department of Education, October 1991).

3. Disability, Functional Limitation, and Health Insurance Coverage: 1984/1985 (Washington, DC: Bureau of the Census, 1986).

4. The Economic Benefits of the Vocational Rehabilitation Program (Berkeley, CA: Berkeley Planning Associates, 1989).

5. Evaluation of Quality Assurance (QA) Systems in State Vocational Rehabilitation (VR) agencies. (Berkeley, CA: Berkeley Planning Associates, 1989).

6. Recruitment and Retention of Qualified Field Service Delivery Personnel in Vocational Rehabilitation. (Berkeley, CA: Berkeley Planning Associates, 1989).

7. A Longitudinal Study of the Vocational Rehabilitation Services Program collecting three years of data on approximately 10,000 state agency clients and applicants for service in order to assess the impact of vocational rehabilitation services relative to a broad range of client outcomes. The final report will be issued in 1999.

VI. Contacts for Further Information

Program Operations: David Ziskind, (202) 205-5474

Program Studies: Sarah Abernathy, (202) 401-3600

Vocational Rehabilitation--Services for American Indians with Disabilities
(CFDA Nos. 84.128 H, 84.250 A-B, 84.250 C)

I. Legislation[1]

Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102- 569 and P.L. 103-73, Title I, Section 130 (29 U.S.C. 711 and 750) (expires September 30,1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$ 650,000	1989	$ 3,625,750
1982	624,000	1990	3,821,000
1983	650,000	1991	4,082,000
1984	715,000	1992	4,470,000
1985	1,430,000	1993	6,203,000
1986	1,340,000	1994	6,615,000
1987	3,202,500	1995	10,271,000
1988	3,448,750	1996	10,572,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to support projects that provide vocational rehabilitation services to American Indians with disabilities who live on federal or state reservations. The services are expected to be similar to those provided under the Vocational Rehabilitation Basic State Grants Program.

B. Strategies to Achieve the Goals

Services Supported

In FY 1996, 35 Vocational Rehabilitation Service projects for American Indians with disabilities were funded; 32 were continuations (including extensions) and 3 were new projects. These three-year projects are awarded on a competitive basis to governing bodies of tribes, but may be extended for up to two additional years. The projects provide vocational rehabilitation services to American Indians who live on federal or state reservations.

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[1] Beginning in FY 1987, funds for this program were provided through a set-aside of the Vocational Rehabilitation State Grants program. The Rehabilitation Act also requires that not less than 0.5 percent and not more than 1.5 percent of the appropriation in FY 1996 for Vocational Rehabilitation Basic State Grants be set-aside for grants for American Indians.

The Vocational Rehabilitation Service projects for American Indians with disabilities provide comprehensive rehabilitation services, including diagnostic services, vocational assessment, physical and mental restoration (including services traditionally used by Indian tribes), vocational training, placement, and post-employment services. Individual projects also conduct outreach activities designed to acquaint potential clients with the range of services available. Approximately 5,000 American Indians with disabilities were served with FY 1995 funds.

Strategic Initiatives

The Rehabilitation Services Administration (RSA) provides grants to projects and monitors the projects. The governing bodies of the tribes provide rehabilitation services directly, by contract, or by purchase of service agreements. The projects, to be funded, must be developed in consultation with the designated state units. The projects may develop a cooperative working arrangement with the designated State units and may refer the American Indian with disabilities to such designated state units for services if the individual so desires.

RSA regional offices have provided technical assistance to individual projects, and have included project staff in meetings related to the provision of vocational rehabilitation services. The American Indians are included under RSA's Cultural Diversity Initiative; activities that support this initiative include outreach, training, and technical assistance to funded projects, applicants, and potential applicants. Technical assistance is also available through the Regional Rehabilitation Continuing Education Programs.

In the past, the quality of many of the applications received under the Indian program was inadequate to be considered for funding. The Department has been working to improve the quality of applications received for this program by sending copies of individual peer reviewer's evaluations and the panel summary to unsuccessful grantees, and by providing technical assistance to prospective applicants (e.g., sharing copies of the top-ranked application from the previous year's competition). These steps improved the quality of applications received for FY 1995 competition and are expected to continue to do so.

C. Program Performance—Indicators of Impact and Effectiveness

Program indicators are under development.

IV. Planned Studies

RSA plans to use FY 1998 funds to support an examination of this program. The most recent RSA evaluation of this program, conducted in 1985, was limited to the project conducted by the Navajo Nation (NVRP). NVRP was the first project funded under this program authority and, with annual funding of more than three times the average annual grant for other projects funded under this program, remains by far the largest project. In addition, a 1987 study funded by RSA broadly examined the special problems and needs of American Indians with disabilities, on and off the reservations. Since FY 1992, funding for this program has almost tripled, primarily as a result of the increase in the statutorily mandated minimum set-aside. Currently, there is little reliable information on the operation and performance of these projects. The new study would examine client characteristics, services provided, outcomes, and management of the American Indian VR

Services program. The study would also examine the relationship between characteristics, services received, and employment outcomes for American Indians served under the VR State Grants program and those served under the American Indian program.

V. Sources of Information

1. Follow-up on the Effectiveness of Tribally Operated Vocational Rehabilitation Projects (Flagstaff, AZ: American Indian Rehabilitation Research and Training Center, Northern Arizona University, 1991).

2. Service, Research and Training Needs of American Indian Vocational Rehabilitation Indian Rehabilitation Projects (Flagstaff, AZ: American Research and Training Center, Northern Arizona University, November 1989).

3. Study of the Special Problems and Needs of American Indians with Handicaps Both On and Off the Reservation (Flagstaff, AZ: Native American Research and Training Center, Northern Arizona University, November 1987).

VI. Contacts for Further Information

Program Operations:	Pam Martin, (202) 205-8494
Program Studies:	Ann Nawaz, (202) 401-3630

Client Assistance Program (CAP)--Grants to States
(CFDA No. 84.161)

I. Legislation

Section 112 of Title I of the Rehabilitation Act of 1973, as amended, P.L. 93-112 (29 U.S.C. 732) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1983	$1,734,000	1990	$7,901,000
1984	6,000,000	1991	8,310,000
1985	6,300,000	1992	9,141,000
1986	6,412,000	1993	9,296,000
1987	7,100,000	1994	9,547,000
1988	7,500,000	1995	9,824,000
1989	7,775,000	1996	10,119,000

III. Analysis of Program Performance

A. Goals and Objectives

Client Assistance Programs (CAPs) are established and implemented as assistance programs to inform and advise clients and client applicants of all available services and benefits under the Rehabilitation Act of 1973, as amended, and to help any who request assistance in their relationships with projects, programs, and community rehabilitation projects providing services under this Act.

The assistance provided by CAPs includes assisting clients or client applicants in pursuing legal, administrative, or other appropriate remedies to ensure the protection of their rights under the Rehabilitation Act. The program also can provide information to the public about the CAP and information on the available services under this act to any person with disabilities in the state. The CAP must provide information on available services and benefits under Title I of the Americans with Disabilities Act (ADA) to individuals with disabilities in the state, especially those who traditionally have been unserved or underserved by vocational rehabilitation programs. In providing assistance and advocacy services with respect to services under this title, a CAP may provide assistance and advocacy to facilitate the employment of the individual, including assistance and advocacy with respect to the individual's claims under Title I of the ADA, if those claims under Title I of the ADA are directly related to services that the individual is receiving or seeking under the Rehabilitation Act.

Each year there are 57 grantees, covering all of the states and territories eligible for CAP funding. In the state's application for a grant under this program, the governor designates a public or private agency in the state to conduct the state's CAP. Each state is required to have a CAP as a condition for receiving vocational rehabilitation program funds under Title I. The designated agency must be

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independent of any agency providing treatment, services, or rehabilitation to individuals under the Rehabilitation Act unless, prior to February 22, 1984, there was an agency in the state that directly carried out a CAP under Section 112 and received assistance under any other provision of the act.

B. Strategies to Achieve the Goals

Services Supported

CAPs are authorized to provide information and referral services, assistance and advocacy, including pursuing legal, administrative, and other available remedies to ensure the protection of a client's or a client applicant's rights under the Rehabilitation Act.

C. Program Performance—Indicators of Impact and Effectiveness

Program indicators are under development.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Roseann S. Eshback, (202) 205-9315
Program Studies:	Audrey Pendleton (202) 401-3630

Discretionary Project Grants for Training Rehabilitation Personnel
(CFDA Nos. 84.129, 84.160, and 84.246)

I. Legislation

Sections 302 and 803 of the Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 771a and 797b) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$24,800,000	1987	$29,550,000
1970	27,700,000	1988	30,000,000
1975	22,200,000	1989	30,500,000
1980	28,500,000	1990	31,110,000
1981	21,675,000	1991	33,353,000
1982	19,200,000	1992	36,688,000
1983	19,200,000	1993	39,628,608
1984	22,000,000	1994	39,629,000
1985	22,000,000	1995	39,629,000
1986	25,838,000	1996	39,629,000

III. Analysis of Program Performance

A. Goals and Objectives

Objective 1: Improve the skills of personnel trained to provide vocational rehabilitation services to individuals with disabilities.

Objective 2: Increase the number of people trained to provide vocational rehabilitation services to individuals with disabilities.

Objective 3: Concentrate efforts in areas of personnel shortages.

The Rehabilitation Act requires that training funds be targeted to support projects in areas of personnel shortages. The Department developed priorities for the allocation of training funds based on a National Survey of Personnel Shortages and Training Needs. Specialties that were determined to most affect service to clients with severe disabilities included rehabilitation counseling; rehabilitation of the blind, deaf, and mentally ill; job development; supported employment; and vocational evaluation and work adjustment.

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B. Strategies to Achieve the Goals

Services Supported

The program supports training, scholarships, and related activities in a broad range of rehabilitation disciplines and areas of professional practice, including long-term training, training of interpreters, experimental and innovative training, continuing education, short-term training, and in-service training. To pay part or all the cost of conducting training programs, grants and contracts are awarded to states and to public or nonprofit agencies and organizations, including institutions of higher education.

Strategic Initiatives

Programs vary with respect to content, methodology, and type of trainee. For example, the Long-Term Training Program must spend 75 percent of the training grants on trainee scholarships, for which trainees must later either make repayment or work for a period in public or private, nonprofit rehabilitation or related agencies. At least 15 percent of the Title III training funds must be set aside to support the In-Service Training Program, one of six programs authorized under Title III.

C. Program Performance—Indicators of Impact and Effectiveness

Two key proposed indicators for the Long-Term Training Program are (1) percentage of trainees completing the program, and (2) percentage of completers accepting employment with public rehabilitation agencies. Indicators for other types of training have not been developed.

Number of trainees completing the program

Rehabilitation Services Administration (RSA) data show that 1,320 scholars received support under 171 Long-Term Training Projects in FY 1996. All are required to pay back their scholarships by working in the vocational rehabilitation field and, as of 1992-93, must begin fulfilling their work obligation within two years. RSA plans to implement in FY 1997 a new Payback Reporting Form, which will show the percentage of trainees who actually complete the program.

Percentage employed with public rehabilitation agencies

The new reporting form will allow the Department to obtain better information about the extent to which individuals who receive support subsequently go to work in vocational rehabilitation. A 1993 evaluation found that 75 percent of persons with RSA scholarships in 1990-91 immediately began to repay their obligation through work at nonprofit agencies or state VR agencies (V.1).

IV. Planned Studies

RSA is planning to use FY 1997 funds to evaluate continuing education and in-service training activities for state agency personnel. RSA intends to compare the cost-effectiveness of the programs, identify best practices, and develop appropriate performance measurement instruments to assess these programs.

V. Sources of Information

1. Recruitment and Retention of Qualified Field Service Delivery Personnel in Vocational Rehabilitation (Washington, DC: Pelavin Associates, 1993).
2. 1992 Survey of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, July 1992).
3. Program files.

VI. Contacts for Further Information

Program Operations: Tim Muzzio, (202) 205-8926

Program Studies: Sarah Abernathy, (202) 401-3630

Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Disabilities
(CFDA No. 84.235)

I. Legislation

The Rehabilitation Act of 1973, P.L. 93-112, Title III, Part B, Section 311 (a)-(d), as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777a (a)-(d)); Title VIII, Section 802 (g) (29 U.S.C. 797a (g)) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$1,000,000	1988	$26,110,000 4/
1975	1,295,000	1989	26,720,000 4/
1980	9,568,000	1990	42,145,000 5/
1981	9,765,000	1991	28,391,000 6/
1982	8,846,000	1992	41,526,000 7/
1983	9,259,000	1993	30,558,000 8/
1984	11,235,000 1/	1994	30,558,000
1985	18,995,000 1/	1995	30,558,000 9/
1986	27,945,000 2/	1996	24,941,000 9/
1987	24,860,000 3/		

1/ Includes funding for the Spinal Cord Injury Program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

2/ Includes $5,000,000 for the Spinal Cord Injury Program, $718,000 for the South Carolina Comprehensive Rehabilitation Center, and $4,785,000 for the Oregon Hearing Institute.

3/ Includes $5,000,000 for the Spinal Cord Injury Program, and $450,000 for Model Statewide Transitional Planning Services for Severely Handicapped Youth Projects.

4/ Includes $5,000,000 for the Spinal Cord Injury Program and $475,000 for Model Transition projects.

5/ Includes $5 million for the Spinal Cord Injury Program, and $14,814,000 earmarked to establish Comprehensive Head Injury Centers.

6/ Includes $5 million for the Spinal Cord Injury Program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

7/ Includes $6 million earmarked for a Hearing Research Center, and $5 million for the Spinal Cord Injury Program.

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8/ In FY 1993, the Spinal Cord Injury Program was transferred to the National Institute on Disability and Rehabilitation Research.

9/ Amounts for 1995 and 1996 include appropriations for Supported Employment Projects, a separate activity prior to FY 1996.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of Special Projects and Demonstrations for Providing Vocational Services to Individuals with Disabilities is to develop innovative methods and comprehensive service programs to help individuals with disabilities achieve satisfactory vocational outcomes. These programs use a variety of approaches to improve vocational outcomes including supported employment, transitional planning, and increased opportunities for consumer choice and develop innovative methods of serving unserved and underserved populations. These current-funded programs make discretionary awards on a competitive basis to public and nonprofit community rehabilitation programs, designated state units, and public or private organizations.

It is expected that successful project results will be disseminated and replicated, in whole or in part, to resolve or alleviate rehabilitation problems that are nationally significant or common to several states.

B. Strategies to Achieve the Goals

Services Supported

In FY 1996, a total of 107 projects--74 continuation projects and 33 new projects--were funded under the Special Demonstrations Program. Among the continuation projects funded in FY 1996 were Consumer Choice Demonstration projects (7 projects), Transitional Rehabilitation Services for Youth with Serious Emotional Disturbance and Serious Mental Illness (9 projects), Community-Based Supported Employment (SE) projects (18 projects), Statewide SE Demonstration projects (10 projects), and SE Projects for Individuals Who Are Deaf and Low-Functioning (3 projects). The program also continued support to 18 field-initiated demonstration projects.

In FY 1996, the program also funded 15 new projects to support the transition of youth with disabilities and 15 new field-initiated demonstration projects. In addition, FY 1996 was the first year the Special Demonstrations program contributed to the jointly funded School-to-Work Technical Assistance project[1], aimed at improving the access of individuals with disabilities to appropriate transition programs and School-to-Work Opportunities systems. At Congress' direction, the Special Demonstrations Program also provided assistance to enable two previously funded regional head injury centers to continue serving as national resource centers to help states improve services to survivors of traumatic brain injury.

C. Program Performance—Indicators of Impact and Effectiveness

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[1] This project is jointly funded under the Rehabilitation Act, the Individuals with Disabilities Education Act and the Carl D. Perkins Vocational and Applied Technology Act.

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RSA has gathered limited performance information on community-based supported employment projects, which are required to provide annual performance information. Data reported by 14 community-based projects show that in their first two years of funding (FY 1992 and 1993), 573 persons were placed in competitive employment with an average hourly wage of $5.45. RSA expects that the national supported employment project will build on the experience of the community-based projects by promoting the nationwide dissemination and replication of exemplary supported employment models and practices.

Limited performance information is also available for the seven choice demonstration projects authorized under Title VIII. In FY 1993, the Department funded a contract to monitor and assist in the implementation of the choice demonstration projects. This contractor provided technical assistance to projects, established a uniform data reporting system, documented problems encountered during implementation, and assessed each project's progress. As of July 31, 1995 (22 months into the project period), these projects had accepted 1,105 persons for service. Of these, 104 had their cases closed because they found employment, and 238 were placed in employment.

Anecdotal evidence from projects funded under Sections 311(a) and (b) suggests that certain projects have been successful in demonstrating rehabilitation methods that are disseminated and replicated or adapted by other service providers. For example, one project developed innovative approaches to the transition of young adults with severe disabilities. In addition to placing and maintaining in employment approximately 60 individuals with disabilities, the project has created and disseminated training materials and provided technical assistance to projects nationwide on the "natural support" approach to the transition of individuals with disabilities. (Natural support is support that is provided to an individual with a disability in the workplace by employers, co-workers, or other persons who are not paid service professionals.)

IV. Planned Studies

In accordance with the statutory requirement that the Department conduct an evaluation of the choice demonstration projects, the Department recently engaged a contractor to determine the effectiveness of the choice approach in improving rehabilitation processes and outcomes. The contractor will follow the projects for the duration of their funding. Results of this evaluation are expected in March 1998.

V. Sources of Information

1. Program files.

2. Evaluation of Special Rehabilitation Projects and Demonstrations for Severely Disabled Individuals: Final Report (Winchester, MA: Harold Russell Associates, Inc., February 1987).

3. Internal Control Review: Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps: Final Report (Washington, DC: U.S. Department of Education, March 1991).

VI. Contacts for Further Information

Program Operations:	Thomas E. Finch, (202) 205-9796
Program Studies:	Michael Fong, (202) 401-3630

Supported Employment State Grants Program for Individuals with the Most Severe Disabilities (CFDA 84.187)

I. Legislation

Rehabilitation Act of 1973, P.L. 93-112, Title VII, Part C, as amended by P.L. 102-569 and P.L. 103-73, Sections 631-638 (29 U.S.C. 795j-795q) (expires September 30, 1997).

The State Supported Employment Services Program authorizes formula grants (supplementary to grants for vocational rehabilitation services under Title I) to assist states in developing and implementing collaborative programs with appropriate public agencies and private nonprofit organizations to provide supported employment services for individuals with the most severe disabilities who require these services to enter or retain competitive employment.

II. Funding History

Fiscal Year	Appropriation
1987	$25,000,000
1988	25,935,000
1989	27,227,000
1990	27,630,000
1991	29,150,000
1992	31,065,000
1993	32,273,000
1994 1/	34,536,000
1995 1/	36,536,000
1996 1/	38,152,000

1/ A 1 percent minority outreach set-aside was deducted from the appropriation, 1994-1996.

III. Analysis of Program Performance

A. Goals and Objectives

The State Supported Employment (SE) Services Program, administered through designated state units, provides services to persons with the most severe disabilities. The purpose of the program is to help such persons who may have been considered too disabled to benefit from vocational rehabilitation (VR) services to achieve competitive vocational outcomes.

B. Strategies to Achieve the Goals

Services Supported

Supported employment placements are achieved by augmenting short-term VR services with ongoing support provided by other public agencies, nonprofit organizations, or other appropriate entities. VR state agencies provide services for a period not to exceed 18 months, unless a longer period to achieve job stabilization has been established in the individual written rehabilitation program. Once this period has ended, the state agency must arrange for extended services provided by other appropriate state agencies, private, nonprofit organizations, or other sources including natural supports, for the duration of that employment. Decisions regarding services to be provided are based on an individualized written rehabilitation program developed by the VR counselor and the person to be served.

C. Program Performance—Indicators of Impact and Effectiveness

Data for the Title VI, Part C, program are obtained through the RSA-911 Case Service Report and the RSA-636 Annual Supported Employment Caseload Report. Data from the RSA-911 reflect the summary of information across the life of the case of those persons who are rehabilitated through the Title VI-C program. Annual data from the RSA-636 were first collected in FY 1992. The RSA-636 Annual Supported Employment Caseload Report preliminary data for FY 1996 show that 37,318 persons received funding for supported employment services through the Title VI-C program, a 3 percent increase from FY 1995.

Performance information is also available for FY 1996 from the RSA-636 Report. Of the persons who had supported employment identified as their employment goal and who received supported employment services funded through the Title VI, Part C, program, approximately 70 percent achieved an employment outcome, as defined under the Title I program, at the time of case closure. It should be noted that the high success rate is due in part to the program's selection bias. Specifically, the VR agency must identify the source of extended services (or conclude that there is a reasonable expectation that sources will become available) before sources are initiated. About 81 percent of the individuals who achieved an employment outcome under this program had a supported employment outcome. These persons had maintained supported employment for at least 60 days after making the transition to extended services. A supported employment placement is competitive employment in an integrated setting where the individual receives ongoing support services from a state agency, a private, nonprofit organization, employer, or other appropriate source after the person has made the transition from state VR agency support.

Another 13 percent of these individuals had a competitive employment outcome that was not considered a supported employment outcome (e.g., the person did not receive ongoing support from an extended service provider or the person was not working in a setting that met the regulatory definition of an integrated setting). The remaining persons (6 percent) were working in noncompetitive employment (e.g., in sheltered employment or as a homemaker or an unpaid family worker) at case closure.

IV. Planned Studies

The National Institute on Disability and Rehabilitation Research (NIDRR) continues to fund a Research and Training Center to study supported employment programs to identify the strategies that states have employed in developing a statewide system of supported employment, to further identify long-term financial support available to the program, and to determine the number of persons served, cost of services, and the employment history of those served in supported employment programs funded under state grant and discretionary grant authorities.

In FY 1995, RSA initiated a two-year study to evaluate the effectiveness of extended services in the Supported Employment program and to evaluate the use of natural supports. The purpose of the program is defeated unless effective extended services are available and used. During the past several years, extensive progress has been made in securing sources of funding for extended services, but serious problems exist in establishing or maintaining these funding streams. Also, no substantial data or analyses exist on the effectiveness, stability, extensiveness, or availability of these services. The purposes of this study are to:

- Assess the availability of extended services including natural supports, particularly for unserved and underserved disability groups;
- Assess the stability and length of provision of extended services;
- Assess the availability of natural supports and the effectiveness of these supports;
- Assess the comprehensiveness (i.e., type and number of services provided) and the cost of extended services; and
- Evaluate the effectiveness of extended services in maintaining the individual in competitive employment.

V. Sources of Information

1. State Plan Supplement for the Supported Employment Services Program.
2. The Annual Report to Congress for Fiscal Year 1994 on Supported Employment Activities. (Washington, DC: U.S. Department of Education, Rehabilitation Services Administration).
3. RSA-911 Case Service Report and the RSA 636 Annual Supported Employment Caseload Report.
4. Program files.

VI. Contacts for Further Information

Program Operations:	Judy Tynes, (202) 205-9346
Program Studies:	Michael Fong, (202) 401-3630

Projects for Initiating Recreation Programs for Individuals with Disabilities
(CDFA No. 84.128J)

I. Legislation

Rehabilitation Act of 1973, as amended in 1993, P.L. 93-112, Title III, Part B, Section 316, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777(f)) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$ 1,884,000	1990	$ 2,588,000
1983	2,000,000	1991	2,617,000
1984	2,000,000	1992	2,617,000
1985	2,100,000	1993	2,596,000
1985	2,105,000	1994	2,596,000
1987	2,330,000	1995	2,596,000
1988	2,470,000	1996	2,596,000
1989	2,620,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to initiate programs of recreational activities for individuals with disabilities.

B. Strategies to Achieve the Goals

Services Supported

Activities carried out under this program are designed to aid in employment and to maximize mobility, socialization, independence, and community integration for individuals with disabilities. Projects are located in independent living centers, universities, public and private rehabilitation facilities, school districts and small community-based service organizations in 16 states across the nation. As of FY 1995, these projects had served more than 43,900 individuals with disabilities. homemaking, camping, dance, 4-H activities, scouting, physical education and sports, vocational skills development, leisure education, leisure networking, leisure resource development, and related recreational activities.

Strategic Initiatives

Program funds are distributed in such a way as to encourage grantees to assume full fiscal responsibility. The federal share of the costs of the recreation programs is 100 percent for the first year of the grant, 75 percent for the second year, and 50 percent for the third year. Each grantee is required to provide information on how the project will meet its matching requirement and increase its share of project costs during the second and third years of operation. Grantees must identify the sources and amounts of matching funds, and the means by which the project will sustain itself after the termination of federal grant support.

C. Program Performance—Indicators of Impact and Effectiveness

Each grant recipient is monitored (through teleconference) twice a year. Each grantee is evaluated on the progress made toward achieving the goals and objectives cited in the grant application. If appropriate, the grantee receives technical assistance in order to meet the stated goals and objectives of the grant application.

IV. Planned Studies

As required by the new performance indicators for this program, the program will conduct specific studies to learn the number of persons who benefitted from recreation activities as determined by increased employment opportunities, mobility, socialization, independence, and community integration, and the number of recreation programs that continue after federal funding ceases. The studies will also ascertain whether the grantees maintained the same level of support to clients after federal support decreased in the second and third years. The results of these studies are expected in FY 1999. In addition, in FY 1998, the Rehabilitation Services Administration (RSA) will sponsor a National Recreation Project Directors' meeting to provide a format for funded projects to share information about their programs and to discuss various issues concerning the recreation program.

V. Sources of Information

1. Program files.

2. Teleconference for further information.

VI. Contacts for Further Information

Program Operations:	Mary Winkler-Chambers, (202) 205-8435
Program Studies:	Ann Nawaz, (202) 401-3630

Projects for Migratory Agricultural Workers and Seasonal Farm Workers with Disabilities (CFDA No. 84.128G)

I. Legislation

The Rehabilitation Act of 1973, as amended in 1993, P.L. 93-112, Title III, Part B, Section 312, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777b) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$530,000	1988	$1,100,000
1980	1,530,000	1989	1,100,000
1981	1,325,000	1990	1,086,000
1982	951,000	1991	1,171,000
1983	951,000	1992	1,171,000
1984	950,000	1993	1,171,000
1985	950,000	1994	1,171,000
1986	957,000	1995	1,421,000
1987	1,058,000	1996	1,421,000

III. Analysis of Program Performance

A. Goals and Objectives

The program's purpose is to increase employment opportunities for migratory agricultural workers or seasonal farm workers with disabilities by providing services to them and to members of their families who are with them (whether the family members have disabilities or not).

Objective 1: Promote employment opportunities for migratory agricultural workers or seasonal farm workers who have disabilities.

The program rehabilitates more than 400 people each year.

Objective 2: Increase services to migrant and seasonal farm workers with disabilities.

There are at least 280,000 migratory agricultural workers and seasonal farm workers with disabilities in the labor force and another 60,000 dependents of those workers. This program serves more than 2,500 annually.

Objective 3: Promote outreach activities to this population.

Research shows that the migrant population is more likely to engage in rehabilitation services that are provided in noninstitutional settings in their native tongue.

Objective 4: Provide for the coordination of related services between funded grantees and other state VR programs.

With the passage of the Rehabilitation Act Amendments of 1992, grants may be awarded to state agencies or to nonprofit agencies that collaborate with other state agencies in the administration of related migrant services.

B. Strategies to Achieve the Goals

Services Supported

In FY 1995, 10 projects--4 of them new projects--operated in states that have high concentrations of migrant and seasonal farm workers. In FY 1996, the Department funded 9 projects, of which 3 were new. Services are typically concentrated in areas within each state.

Applicants must give satisfactory assurance of appropriate cooperation with other public or nonprofit agencies and organizations that have special skills and experience in the provision of services to migratory agricultural workers, seasonal farm workers, or their families, including programs under Title I of the Elementary and Secondary Education Act of 1965, Section 311 of the Economic Opportunity Act of 1964, the Migrant Health Act, and the Farm Labor Contractor Registration Act of 1963.

Strategic Initiatives

Projects are administered by a state agency designated pursuant to a state plan approved under Section 101 of the Rehabilitation Act, by a nonprofit agency working in collaboration with a state agency, or by a local agency participating in the administration of such a plan. Grants pay up to 90 percent of the cost of projects. Since FY 1995, grant awards have been increased from three- to five-year periods.

Projects are monitored quarterly by a regional office, which reviews the grantees' progress toward achieving their stated goals and objectives and provides technical assistance as needed. As part of the Administration's Reinventing Government Initiative, the Department has eliminated the continuation application process. Instead of applying for a noncompeting continuation, all applicants for multiyear projects now provide detailed budget information for the total project period. They then submit an annual performance report on program outcomes and progress in achieving project goals and objectives.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are under development.

IV. Planned Studies

The program plans to conduct specific studies in areas such as the number of people requesting services and the number actually served, unemployment rate of persons requesting services, placement rate for those served by the program, percentage of state VR agencies reporting outreach activities to clients under this program, and coordination activities between related programs. Results of these studies are expected in FY 1999.

V. Sources of Information

1. Evaluation of the Migrant and Seasonal Farm Workers' Vocational Rehabilitation Services Projects (E.H. White and Company, San Francisco, CA, September 1987).
2. Evaluation of Vocational Rehabilitation Services Provided to Migrant and Seasonal Farm Workers: Final Report (Pelavin Research Institute, Washington, DC, June 1995).
3. Program files.
4. Teleconferencing monitoring.

VI. Contacts for Further Information

Program Operation:	Mary Winkler-Chambers, (202) 205-8435
Program Studies:	Sarah Abernathy, (202) 401-3600

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Helen Keller National Center (HKNC) for Deaf-Blind Youths and Adults (CFDA No. 84. 128)

I. Legislation

The Helen Keller National Center Act as amended by P.L. 99-506, (29 U.S.C. 1901-1907) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$ 600,000	1988	$4,800,000
1975	2,000,000	1989	4,900,000
1980	2,500,000	1990	4,938,000
1981	3,200,000	1991	5,367,000
1982	3,137,000	1992	5,867,000
1983	3,500,000	1993	6,057,000
1984	4,000,000	1994	6,741,000
1985	4,200,000	1995	6,936,000
1986	4,115,000	1996	7,144,000
1987	4,600,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the Helen Keller National Center is to enhance opportunities for individuals with deaf-blindness to live as independently as possible in their home communities. Each person's need for support is assessed and assistance is provided or arranged as necessary to help the individual become independent. The objectives of the program are to provide clients with meaningful contact with the environment, effective means of communication, constructive participation in the home and community, initial or enhanced employability, and other development pertinent to their rehabilitation. The Helen Keller National Center is current-funded on a noncompetitive basis.

B. Strategies to Achieve the Goals

Services Supported

HKNC offers training and consultation to other programs through a national training team. Training is provided on-site nationwide as requested, with the requesting agency covering the travel costs for the team. In addition, nine week-long seminars at HKNC headquarters are conducted during the year. Participants in these seminars are nominated and sponsored by their own agencies. Training topics include communication methods, mobility, counseling, home management, vocational training, job placement, and services available in the field. HKNC also maintains a registry of youths and adults with deaf-blindness and encourages and assists public and private agencies to develop in their local communities services for individuals who are deaf-blind.

The center employs representatives in each of the 10 federal regions. These representatives provide a variety of services, including staff training, technical assistance, and specific planning of direct services for deaf-blind clients in conjunction with state vocational rehabilitation counselors, mental health workers, and special education programs. These staff members also provide counseling, information, and referral for individuals who are deaf-blind and their parents.

HKNC operates a number of special projects related to deaf-blindness, including a service project for elderly deaf-blind persons and a national parent and family services project. The center also operates an international internship program for professionals in the field of deaf-blindness. Participants are professionals, are financially supported by their sponsoring agencies during their stay, and are expected to initiate and complete at least one project while at HKNC.

Strategic Initiatives

In the 1996 program year, the center merged the Case Management and Placement Departments to give clients more support and guidance in identifying vocational and residential goals.

During the program year, the center offered a two-week seminar during the summer to teens and young adults with an interest in exploring educational or employment opportunities upon graduation from high school.

In addition, a second community apartment was made available to enable clients to live in an off-campus apartment for a six-month period. Living off-campus helps participants build confidence and skills, and prepares them for living independently when they complete their training at HKNC.

C. Program Performance—Indicators of Impact and Effectiveness

In the 1996[1] program year, the most recent year for which data are available, a total of 85 clients was served at the HKNC's rehabilitation training center. Of these, 47 had finished their training by the end of the program year. All 47 also had received services from the Placement Department. Twenty of those served by the Placement Department were placed in some type of employment setting. Eight persons returned home and are awaiting employment opportunities, and 5 persons returned to school after completing their training. All of the people served by the Placement Department were assisted in finding appropriate housing.

IV. Planned Studies

The Helen Keller National Center Act requires that the Secretary of Education annually evaluate the HKNC's activities. The center uses special evaluation instruments developed under contract to the Department to help prepare the report that the Secretary annually transmits to the President and Congress.

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[1] Program year 1996 was July 1, 1995, to June 30, 1996. Activities during this year were supported by the FY 1995 appropriation for HKNC ($6.936 million).

V. Sources of Information

1. Evaluation of the Helen Keller National Center for Deaf-Blind Youths and Adults (Washington, DC: Associate Control, Research and Analysis Inc., August 1988).
2. Program 1995 Annual Report of the Helen Keller National Center.

VI. Contacts for Further Information

Program Operation:	George Arsnow, (202) 205-9317
Program Studies:	Ann Nawaz (202) 401-3630

Projects with Industry Program (PWI)
(CFDA No. 84.234)

I. Legislation

Rehabilitation Act of 1973 (P.L. 93-112), as amended by P.L. 102-569 and P.L. 103-73, Title VI, Part B, Section 621 (29 U.S.C. 795g) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$900,000	1988	$17,000,000
1975	1,000,000	1989	17,350,000
1980	5,500,000	1990	18,765,000
1981	5,250,000	1991	19,445,000
1982	7,510,000	1992	20,390,000
1983	13,000,000	1993	21,571,000
1984	13,000,000	1994	22,071,000
1985	14,400,000	1995	22,071,000
1986	14,547,000	1996	22,065,000
1987	14,070,000	1996	22,065,000

III. Analysis of Program Performance

A. Goals and Objectives

The PWI program supports projects with private industry to create and expand job and career opportunities in the competitive labor market for individuals with disabilities. Projects promote the involvement of private industry through Business Advisory Councils (BACs), which identify competitive jobs and career opportunities and the skills needed to perform such jobs. Projects create practical job and career readiness and training programs, and provide job placements and career advancement.

B. Strategies to Achieve the Goals

Services Supported

Projects are required to provide job training in realistic settings, job placement, career advancement services, and, when necessary, postemployment services to help individuals maintain employment. Services to employers can include job-site modification, equipment modification, and distribution of rehabilitation technology.

Each grantee must develop a BAC, which must have representation from private industry, organized labor, and individuals with disabilities and their representatives. The BAC is responsible for identifying job and career advancement opportunities within the community, identifying the skills

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necessary to perform the jobs and careers identified, and prescribing training programs designed to develop appropriate job skills for individuals with disabilities.

Strategic Initiatives

The 1986 amendments to the Rehabilitation Act provided for mandated site visits of project grantees, which began in FY 1989. Each year 15 percent of PWI projects (selected randomly) are visited and evaluated with respect to their compliance with the evaluation standards and progress toward achieving the goals and objectives outlined in their grant applications. If weaknesses are identified, technical assistance is provided. Through corrective action plans, grantees that have marked weaknesses are targeted for additional technical assistance until the project is functioning satisfactorily.

In 1997, the Rehabilitation Services Administration plans to propose new indicators that measure grantee performance on the evaluation standards. The proposed indicators will increase the program's focus on outcomes, and may include measures of the proportion of individuals with severe disabilities who participate, the proportion who had been unemployed for the six months prior to receiving services, the job placement rate, change in earnings for individuals served, cost-effectiveness, and job retention.

C. Program Performance—Indicators of Impact and Effectiveness

In FY 1995 and FY 1996, grantees were awarded points based on their performance on nine indicators: the proportion of individuals served who have severe disabilities, the proportion who were unemployed at least six months prior to entry, the average cost per placement, actual costs compared with projected costs, overall placement rate, actual placements compared projected placements, average change in earnings, proportion of individuals placed who have severe disabilities, and proportion of individuals placed who had been unemployed. (For a full description, see 34 CFR Part 379, Subpart F.)

Analysis of the performance data for 1995 indicates that 94 percent of the projects met their performance objectives. In accordance with program regulations, all projects that failed to meet the minimum successful score on the performance indicators were given the opportunity to demonstrate improvement in their performance by submitting data for the first six months of the next fiscal year. Of the seven that initially failed, one was in its final year of funding, two had ended at the end of the previous year, three passed after submitting data for the next six months, and one was defunded. Grantee performance on key indicators includes the following:

Placement rate

PWI programs placed 13,029 individuals in competitive employment in 1995, up from 11,604 in 1994. The overall placement rate for 1995 increased to 68 percent of individuals all clients served.

Individuals with severe disabilities

In 1995, 15,486 PWI participants were individuals with severe disabilities, a total of 81 percent of all served. Both the number and the proportion are increases from the year before. Of these individuals with severe disabilities, 67 percent successfully found jobs, a rate just below the overall PWI placement rate.

Individuals who were unemployed

In 1995, 13,192 of all individuals served (69 percent) had been unemployed for six or more months prior to obtaining PWI services. PWI programs successfully placed 66 percent of these individuals, up from 62 percent the previous year.

Cost per placement

Average cost per placement decreased from $1,707 in 1994 to $1,598 in 1995, despite increases over the same period in the numbers and proportions served who were individuals with severe disabilities.

IV. Planned Studies

None.

V. Sources of Information

1. Assessment of the Projects with Industry Program (Washington, DC: Advanced Technology, Inc., April 1983).
2. Evaluation of the Projects with Industry Program (Washington, DC: Policy Studies Associates, Inc., January 1986).
3. Compliance Indicators for Projects with Industry Program.
4. Program files.

VI. Contacts for Further Information

Program Operations:	Martha Muskie, (202) 205-3293
Program Studies:	Sarah Abernathy, (202) 401-3600

Independent Living Services Program[1]
(CFDA No. 84.169)

I. Legislation

Part B, Chapter 1 of Title VII of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796e-796e-2) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1985	$5,000,000	1991	$13,619,000
1986	10,527,000	1992	14,200,000
1987	11,830,000	1993	15,376,000
1988	12,310,000	1994	18,003,000
1989	12,678,000	1995	21,859,000
1990	12,938,000	1996	21,859,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the Independent Living Services, or Independent Living State Grants, Program is to maximize the leadership, empowerment, independence, and productivity of individuals with significant disabilities, and to integrate them into the mainstream of American society. There are three independent living programs: the Independent Living State Grants Program, the Centers for Independent Living Program, and the Services for Older Individuals Who Are Blind Program.

B. Strategies to Achieve the Goals

Services Supported

The program gives formula grants to states to provide, expand, and improve independent living services; support the operation of centers for independent living; conduct studies and make recommendations of best practices; provide training on the independent living philosophy; and provide outreach to populations that are unserved or underserved by programs under Title VII of the Rehabilitation Act.

In FY 1995, 79 state vocational rehabilitation agencies—both general agencies and agencies for individuals who are blind—received funds under this program. The Independent Living State Grants and Centers programs served approximately 136,000 people in FY 1995, of whom 98,484 were active in the caseload at the end of the year (the others had left the program for a variety of reasons).

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[1] Formerly, Comprehensive Services for Independent Living.

The programs serve people with a variety of significant disabilities: 44 percent have physical disabilities, 18 percent have sensory disabilities, and 19 percent have multiple disabilities.

Strategic Initiatives

Each state must, along with its Statewide Independent Living Council, include independent living services in its state plan and describe the extent and scope of services to be provided. They can be provided either directly by the state agency or through arrangements with centers for independent living and other providers.

Funds are allocated to states in accordance with their population; the minimum state allocation is the larger of the amount the state received in FY 1992 or $291,746, or as close to this amount as funds allow.

Approximately 136,000 individuals received independent living services beyond information, referral, or community services in FY 1995 from centers supported by the Independent Living State Grants and Centers programs, a 36 percent increase over the previous year. Approximately 62,000 became new recipients of independent living services that year, and about 73 percent opted to develop a plan for the attainment of independent living goals agreed upon by the center staff and the consumer. In FY 1995, centers help clients to achieve some 21,803 self-care goals, 10,612 mobility goals, 9,259 residential goals, 8,054 communication goals, 7,125 vocational goals, and 23,975 other goals.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are being developed.

IV. Planned Studies

A study is planned to examine the relationship among the Rehabilitation Services Administration's three independent living programs, the resources committed to advocacy versus direct services, the client outcomes (e.g., the extent to which programs contributed to the clients achievement of their independent living goals), and the extent to which State Plans for Independent Living Services reflect the needs of clients.

V. Sources of Information

1. Program files.

2. State Plans for Independent Living Services.

VI. Contacts for Further Information

Program Operations:	John Nelson, (202) 205-9362
Program Studies:	Sarah Abernathy, (202) 401-3600

Centers for Independent Living (CIL)
(CFDA No. 84.132)

I. Legislation

Part C, Chapter 1 of Title VII of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796e) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1979	$2,000,000	1988	$25,500,000
1980	15,000,000	1989	26,000,000
1981	18,000,000	1990	26,666,000
1982	17,280,000	1991	27,579,000
1983	19,400,000	1992	29,000,000
1984	19,400,000	1993	31,446,000
1985	22,000,000	1994	36,818,000
1986	22,011,000	1995	40,533,000
1987	24,320,000	1996	41,749,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the Centers for Independent Living (CIL) program is to maximize the leadership, empowerment, independence, and productivity of individuals with significant disabilities, and to integrate them into the mainstream of American society. The CIL program provides grants for consumer-controlled, community-based, cross-disability nonresidential private nonprofit agencies that are designed and operated within a local community by individuals with disabilities and provide an array of independent living services.

B. Strategies to Achieve the Goals

Services Supported

In FY 1996, over 137,000 individuals received Independent Living (IL) services and another 207,249 received information and referral services through the CIL and the IL State Grants programs. CIL staff and volunteers help increase access throughout the country by encouraging local transportation providers to convert to a majority of mainline accessible buses to meet the transportation needs of individuals with mobility impairments; developing extensive volunteer networks based at the CIL; creating accessible materials for individuals with significant visual impairment; developing innovative programs for individuals with mental illness, such as self-help and housing services for individuals who are homeless and peer counseling programs for individuals in locked wards; developing and managing local and state equipment loan and revolving fund programs; developing and operating a wide variety of consumer-controlled attendant-care approaches and funding programs; developing and operating a wide variety of consumer-controlled attendant-care approaches and funding strategies; counseling individuals with significant disabilities and their families as to their rights and the availability of benefits regarding appropriate school options and medical support; educating older individuals with emerging disabilities on independent living techniques and skills; and organizing and coordinating Statewide Telecommunication Device for the Deaf (TDD) services for individuals who are deaf or hard of hearing.

Strategic Initiatives

All centers must have a governing board composed of a majority of individuals with significant disabilities. All projects must complete a self-evaluation and audit by an independent auditor annually. Each year also at least 15 percent of CILs must receive an on-site compliance review by a team composed of federal and nonfederal reviewers.

Funds are allocated to states in accordance with their population, except that no state may receive less than the total amount received in FY 1992, and each state is provided a minimum allotment of $462,600 or as close to this amount as funds allow. Between 1.8 and 2 percent of the funds in excess of the funds appropriated in FY 1993 for this program must be used for grants or contracts to provide training and technical assistance to centers for independent living and statewide independent living councils.

C. Program Performance—Indicators of Impact and Effectiveness

Statutory evaluation standards and compliance indicators established by the Department are used to measure the extent to which centers have achieved program objectives. These standards and indicators evaluate program performance in the following areas: philosophy, including client control and equal access; provision of services on a cross-disability basis; support of the development and achievement of the independent living goals chosen by clients; advocacy to increase the quality of community options for independent living; provision of independent living core services; resource development; and community capacity-building activities such as community advocacy, technical assistance, and outreach. RSA reviews compliance with the indicators before funding continues each year. The grantees must propose how to correct any areas of noncompliance before continuation funding is granted.

IV. Planned Studies

A study is planned to examine the relationship among RSA's three Independent Living programs, the resources committed to advocacy versus direct services, the consumer outcomes (e.g., the extent to which programs contributed to the consumers' achievement of their independent living goals), and the extent to which State Plans for Independent Living reflect the needs of clients.

V. Sources of Information

1. 1992 Annual Report on Federal Activities Related to the Rehabilitation Act of 1973, as amended (Washington, DC: U.S. Department of Education, 1992).

2. Program files.

3. Rehabilitation Services Administration Information Memorandum 96-23.

VI. Contacts for Further Information

Program Operations: Merri Pearson, (202) 205-8484

Program Studies: Sarah Abernathy, (202) 401-3600

Independent Living Services for Older Individuals who are Blind (CFDA No. 84.177)

I. Legislation

Chapter 2 of Title VII the Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-569 (29 U.S.C. 796f) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,290,000
1988	5,600,000
1989	5,700,000
1990	5,829,000
1991	5,914,000
1992	6,505,000
1993	6,944,000
1994	8,131,000
1995	8,952,000
1996	9,952,000

III. Analysis of Program Performance

A. Goals and Objectives

To provide independent living services for individuals age 55 or older who are blind or severely visually impaired, and to help them adjust to blindness so that they may live more independently in their homes and communities. This program also supports activities to expand and improve services for older individuals who are blind, and to improve public understanding of the problems facing them.

B. Strategies to Achieve the Goals

Services Supported

The program serves blind or severely visually impaired individuals, age 55 or older, whose blindness or severe visual impairment makes gainful employment extremely difficult, but for whom independent living goals are feasible. Independent living skills help to prevent institutionalization and enhance the lives of these individuals.

Independent living services for older individuals who are blind include services to correct blindness or visual impairment, or to help the recipients become more mobile and self-sufficient. Services provided under the program are visual screening, therapeutic treatment, outreach, provision of eyeglasses, other vision aids, guide services, transportation, orientation and mobility training, reader services, Braille instruction, information and referral, peer counseling, adaptive skills training, and other appropriate services designed to help older individuals who are blind to cope with daily living activities. In 1995, approximately 22,000 individuals received one or more services through this program. Approximately 34 percent of total funding came from nonfederal sources (V.2).

Eligible grantees are state vocational rehabilitation (VR) agencies for individuals who are blind and visually impaired or, in states with no separate agency for such persons, state combined VR agencies. Each designated state unit may either provide independent living services directly under this program or make subgrants to other public agencies or private, nonprofit organizations to provide these services.

Strategic Initiatives

Section 21(b)(3)(c) of the Rehabilitation Act, as amended in 1992, requires the Commissioner to use 1 percent of the aggregate funds appropriated for programs authorized in Titles II, III, VI, VII, and VIII for minority outreach activities as specified in Section 21(b)(3)(A) of the act. In FY 1996, one percent of the funds appropriated for this program were reserved for this purpose. Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Section 20 of the act requires all programs under the act to advise individuals receiving or seeking to receive program services, or as appropriate, such individuals' authorized representative, of the availability and purposes of the Client Assistance Program under Section 112 of the act, including information on the means of seeking assistance under such program.

Working with grantees, the Department, in FY 1997, will develop a plan to collect outcome data for individuals who have obtained assistance from the program.

IV. Planned Studies

None.

V. Sources of Information

1. Program files

2. Independent Living Services for Older Individuals Who Are Blind, Rehabilitation Services Administration, Annual Report for FY 1995.

VI. Contacts for Further Information

Program Operation:	Ray Melhoff, (202) 205-9320
Program Studies:	David Goodwin, (202) 401-0263

Protection and Advocacy of Individual Rights (PAIR)
(CFDA No. 84.240)

I. Legislation

Section 509 of title VII of the Rehabilitation Act of 1973, as amended, P. L. 93-112 (20 U.S.C. 732) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1991	$976,000
1992	1,074,000
1993	2,480,000
1994	5,500,000
1995	7,456,000
1996	7,456,000

III. Analysis of Program Performance

A. Goals and Objectives

PAIR provides support to state protection and advocacy systems (P&As) for the protection of the legal and human rights of individuals with disabilities. P&As are authorized under Part C of the Developmental Disabilities Assistance and Bill of Rights Act (DDA), P.L. 100-146. The PAIR program serves individuals with disabilities who need services that are beyond the scope of services provided by the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act and who are ineligible for services under the DDA and the Protection and Advocacy for Individuals with Mental Illness Act of 1986 (PAIMI), (P.L. 99-319). PAIR became a formula grant program in FY 1994.

B. Strategies to Achieve the Goals

Services Supported

In FY 1995, PAIR programs reported serving 57,768 persons, of whom 47,101 were seeking information and referral services and 10,667 were served as cases. Of the 10,667 cases handled by PAIR programs in FY 1995, the largest category (19 percent) involved employment issues. The next two largest categories were education issues (17 percent) and financial entitlements, including Medicaid and Social Security (9 percent).

Strategies used to address or resolve client issues included advisory/interpretational counseling (36 percent), supervised referrals (28 percent), negotiation/mediation (13 percent), administrative remedies (4 percent), and legal remedies including litigation (2 percent). Other remedies were used in 17 percent of the cases.

C. Program Performance—Indicators of Impact and Effectiveness

In developing performance measures for the PAIR program, the Department is working with the Department of Health and Human Services in order to ensure consistency in measuring performance across protection and advocacy programs. Possible indicators for the PAIR program include the extent to which individuals served by PAIR report satisfaction with the services they receive, how well P&As (or PAIR programs) identify issues and set priorities for bringing about systemic change, and how well P&As (or PAIR programs) effectively bring about permanent systems change in those areas.

IV. Sources of Information

Annual reports and statements of objectives and priorities submitted by PAIR program grantees.

V. Planned Studies

The Rehabilitation Act's evaluation program plans to evaluate the PAIR program in FY 1998. The study will provide, among other things, descriptive information, such as how PAIR programs identify issues, set priorities, and effectively bring about systems change in those priority areas; how many individuals are served; what types of services are provided; how much services cost; and why individuals seek PAIR services.

VI. Contacts for Further Information

Program Operations:	Roseann Ashby, (202) 205-8729
Program Studies:	Andrew Lauland, (202) 401-3630

Technology-Related Assistance
(CFDA Nos. 84.224)

I. Legislation

Technology-Related Assistance for Individuals with Disabilities Act of 1988, as amended, Title I (U.S.C. 2201-2217) (expires September 30, 1998).

II. Funding History

Fiscal Year	Appropriation
1989	$ 5,150,000
1990	14,814,000
1991	20,982,000
1992	28,000,000
1993	34,067,795
1994	37,744,000
1995	39,249,000
1996	36,109,000

No state may receive more than 10 years of funding under this program.

III. Analysis of Program Performance

A. Goals and Objectives

The Technology-Related Assistance Program provides support to states for the development of technology-related activities and initiatives designed to enhance the ability of individuals with disabilities to access assistive devices and services through systems changes, advocacy, and consumer responsiveness.

The efforts are intended to:

- Increase the availability of assistive devices and services by helping states to review or establish policies and procedures that may help ensure the availability of assistive devices; increase funding for the provision of devices and revise policies that impede device availability; build state and local capability to provide services; and improve coordination among public and private agencies;

- Increase the awareness and knowledge about assistive technology among persons with disabilities, their families, professionals who work with disabled persons, employers, community organizations, and other involved groups; and

- Increase public and government awareness of the needs of individuals with disabilities for assistive technology devices and services.

B. Strategies to Achieve the Goals

Services Supported

Discretionary grants are made to agencies designated by the governors to develop comprehensive statewide programs of technology-related assistance. In addition, there is a statutory requirement for a technical assistance project to assist the state technology programs and a similar statutory requirement for technical assistance to consumers, families, protection and advocacy agencies, and community organizations.

The state projects may carry out a wide variety of activities, depending on the particular needs in the state. These include identifying the number and needs of persons with disabilities for assistive technology; identifying and coordinating resources for services and devices; disseminating information and increasing public awareness; providing training and technical assistance; providing assistance to statewide and community-based organizations; improving staff qualifications; and compiling and evaluating data.

Strategic Initiatives

The Secretary has developed an information system that provides quantitative and qualitative data on the program's impact. In FY 1995, the technical assistance grant was continued for five years to help states implement their development grants and to work with them in developing an information system. The grantee offers consultation on such matters as building a more efficient administrative structure, providing leadership training for improved project performance, strengthening consumer involvement, developing effective interagency agreements, effecting systemic change, and locating funding sources to help individuals acquire assistive devices. The contractor assists the states in their annual self-assessment processes.

C. Program Performance—Indicators of Impact and Effectiveness

FY 1996 grants totaling $34.5 million were made to 56 entities (50 states and 6 outlying areas) for this program. The projects have resulted in models of systems change, advocacy, consumer responsiveness, and support activities that may be adopted by other states and communities. For example:

- Utah established assistive technology service centers in five sites throughout the state; each of these centers assesses more than 300 clients a year;

- Maine established an interactive cable television program that reached homes, offices, and classrooms throughout the state;

- Illinois set up a store-front information center and office in the state capitol; and

- Colorado funded five multi-disciplinary "assistive technology teams" through a competitive process; team members who are experienced in service delivery meet regularly with consumers and their families across the state.

IV. Planned Studies

An evaluation is planned for FY 1998.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Carol Cohen, (202) 205-5666
Program Studies:	Steven Zwillinger, (202) 401-1678

Office of Vocational and Adult Education

Vocational Education--Basic Grants To States
(CFDA No. 84.048)

I. Legislation

Carl D. Perkins Vocational and Applied Technology Education Act (P.L.101-392), Title II, (20 U.S.C. 2311) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$168,607,000	1987	$809,507,974
1970	342,747,000	1988	798,665,863
1975	494,488,000	1989	825,600,408
1980	719,244,000	1990	844,429,254
1981	637,315,000	1991	848,359,869
1982	587,736,648	1992	940,171,000
1983	657,902,000	1993	962,524,509
1984	666,628,758	1994	955,566,000
1985	777,633,758	1995	972,566,000
1986	743,965,099	1996	972,566,000

These amounts include funds provided to the states each year under the Smith-Hughes Act's permanent appropriation. For FY 1965 through FY 1984, the amounts represent funds authorized under P.L. 94-482. For FY 1985 through FY 1990, the amounts represent funds authorized under P.L. 98-524, and for FY 1991 through FY 1994 under P.L. 101-392.

III. Analysis of Program Performance

A. Goals and Objectives

Basic State Grants are intended to help states expand and improve their programs of vocational education and provide equal access in vocational education to people with special needs. The ultimate goal of this program is to make the United States more competitive in the world economy by more fully developing the academic and occupational skills of all students.

B. Strategies to Achieve the Goals

States use their funds to support a variety of vocational education programs developed in accordance with a state plan. Basic State Grants support secondary school vocational education programs and postsecondary and adult vocational education programs. In addition, grants are used to support programs for single parents, displaced homemakers, and single pregnant women; programs for criminal offenders; and sex equity programs.

C. Program Performance—Indicators of Impact and Effectiveness

The National Assessment of Vocational Education (NAVE), mandated by Section 403 of the Perkins Act, presents a comprehensive assessment of the status of vocational education programs supported under the act. Since the publication of NAVE, two additional reports, *Vocational Education in the United States: The Early 1990s* and *Trends in Participation in Secondary Vocational Education: 1982--1992,* now provide further analyses of vocational education.

Strengthen the academic and technical skills of vocational education students.

Available data indicate that although higher academic standards and large-scale changes in graduation requirements have improved the academic course-taking of vocational students, vocational students still lag behind other students in math and science.

- Among high school graduates in 1992 who focused on vocational education, 80 percent completed one or more high school math courses below the Algebra 1 level (this includes basic math, general math, applied math, and prealgebra); 57 percent took Algebra 1, 37 percent geometry, 30 percent advanced math, and 3 percent calculus. By comparison, 44 percent of students in the academic track completed one or more high school math courses below the Algebra 1 level, 74 percent took Algebra 1, 94 percent geometry, 95 percent advanced math, and 22 percent calculus. In addition, 73 percent of general track students took math courses below the Algebra 1 level, 69 percent took Algebra 1, 58 percent geometry, 47 percent advanced math, and 3 percent calculus.

- Similarly, 85 percent of the 1992 vocational education graduates completed one or more survey science courses, 83 percent took biology, and 11 percent advanced biology in high school. By comparison, 69 percent of academic students completed one or more survey science courses, 82 percent completed coursework in regular biology, and 41 percent in advanced biology. Approximately 79 percent of general track students completed coursework in survey science, 87 percent in regular biology, and 17 percent in advanced biology.

Course-taking data indicated that vocational students in the class of 1992 were less likely than other students to meet the academic standards established for science for non-college-bound graduates in *A Nation at Risk,* which called for three years each of math and science. Vocational students earned an average of 2.9 credits in mathematics, 2.4 in science, and 0.4 in computer science (classified as a subcategory of mathematics). However, graduates concentrating in the "high tech" fields of technical communications and business were more likely than other vocational student to meet all of the standards, and were just as likely as nonvocational students to do so.

Instruction in computer literacy in secondary vocational education is concentrated mainly in business and technical courses. Data from the 1992 National Education Longitudinal Survey (NELS) Followup show that business and technical students take more computer courses than other students. Some 72 percent of technical/communications students have taken at least one semester of computer science, as have 63 percent of business students. The proportions in other vocational fields range from 16 to 27 percent.

A study by the International Association for the Evaluation of Educational Achievement has found that business education not only trains many students in computer use, but encompasses a range of computer applications, including word processing, programming, spreadsheets, and data analysis.

Increase the number of vocational education students earning postsecondary education credentials.

Students in less-than-four-year public institutions are increasingly leaving school without credentials. Between the 1970s and 1980s, the proportion of students leaving community colleges without credentials increased from 30 percent to 42 percent, and the proportion leaving public technical institutions from 36 percent to 46 percent. The proportion for proprietary institutions remained fairly stable (around 40 percent).

- Data from the 1992 Beginning Postsecondary Study (BPS) show that two-and-a-half years after entering subbaccalaureate institutions, 26 to 65 percent of full-time students had completed their programs, depending on the type of institution. In less-than-two-year institutions, 44 to 65 percent of students earned a credential, whereas in two- or three-year institutions, 26 to 52 percent of students completed a program. Within community colleges, vocational and academic students leave school at about the same rate.

- The data suggest that high school vocational students seem relatively well prepared for short, occupationally focused, postsecondary education provided by proprietary schools, but are most likely to drop out of a longer-term postsecondary education program with an academic foundation.

- The relatively low completion rate and higher persistence rate (approximately 40 percent) at community colleges may reflect the continued enrollment of students who intend to transfer to four-year institutions, and of those taking courses for noncredentialing purposes. For these latter students, failure to receive a associate's degree is irrelevant to their "success."

Postsecondary students who complete nonbaccalaureate programs and attain certification (e.g., an associate's degree) have better economic outcomes, in terms of wages and employment, than students who complete the same number of credits but do not complete a degree program. Based on the 1972 National Longitudinal Study, 61 percent of those who attained a postsecondary degree in a vocational field found training-related jobs, in turn leading to better economic outcomes.

Increase the number of high school vocational education graduates obtaining training-related employment.

NAVE reports that less than half of the high school graduates with occupational training obtain a job associated with their training. For the high school class of 1982, about 38 percent of all occupationally specific vocational courses were used in skilled jobs approximately 16 months after high school graduation. By fall 1985, the skilled jobs course utilization rate had risen to 44 percent.

- High school vocational education graduates earned higher wages in jobs where vocational training is directly related to job tasks. Students who had concentrated in a particular vocational field and obtained employment in a related field earned 7 to 8 percent more than vocational students who found a job unrelated to their training or students who completed a general track program in high school.

- High school graduates who found a job that matched their field of study had a 3 percent lower rate of unemployment and spent almost 20 percent more time in the labor force than a comparison group of general track students. By contrast, those vocational track students who did not find a job that matched their field of study had no employment advantages over the general track students.

Expand involvement of employers and raise their level of satisfaction.

Current data show that employers' opinion of high school graduates as young workers is mixed. Employers who are knowledgeable about secondary vocational and work experience programs like them, while employers who are unfamiliar with them have negative views of the work-related abilities and attitudes of high school graduates.

- Typically, large employers and those with high-performance workplace components are more knowledgeable about vocational education programs than other employers.

- Employers in the process of reorganizing toward high-performance workplaces are less satisfied with the quality of secondary vocational programs than are employers still using traditional models of production. Also, when higher skills are demanded, employers look to workers with more training and experience than high school graduates have--even those from vocational programs.

Employers who participate in vocational education do so in a variety of different ways--providing career information to students, actively recruiting and hiring students, and supervising students in co-op or other work-based situations.

Improve the quality of vocational education by strengthening requirements for coherent course sequences.

High school graduates who complete a coherent sequence of vocational courses are more likely to find training-related jobs and to earn more in these jobs, and are less likely to be unemployed over time.

- However, NAVE reports that few students take a coherent sequence of vocational courses, fewer students who take vocational education concentrate their course-taking in a specific program area, and fewer vocational students take upper-level courses. Secondary students were less likely to concentrate their vocational coursework in 1990 than in 1987.

- The ratio of first-level to second- or higher-level courses is a measure of the extent to which students take sequenced vocational programs. Graduates of the class of 1987 took about 2.7 first-level courses for every upper-level course, compared with 3.5 for 1990 high school graduates.

- The proportion of graduates earning at least four credits in specific labor market areas declined from 32 percent in 1987 to 28 percent in 1990. Moreover, among high school graduates earning at least four credits in one specific labor market area, 42 percent took at least two of those credits at second or higher levels in 1987, compared with only 29 percent in 1990.

Explore and expand opportunities for career education and work experience.

Opportunities for students to learn about careers and interests are expanding, in part, because of a renewed interest, at both high school and postsecondary levels, in work experience programs to help ease the transition from school to work. Schools use a variety of approaches to expand students' access to career information, including using technology for self-directed career exploration; emphasizing job shadowing, worksite visits, and career fairs; and systematically infusing career awareness materials into academic classes.

High school students now are offered a variety of work experience programs, including cooperative education (co-op), new youth apprenticeships, and school-based enterprises. These programs give students the opportunity to use skills acquired in the classroom in a workplace setting. Although evaluation data for these programs are largely unavailable, evidence from literature suggests that the quality of such programs is variable.

- Most secondary districts and postsecondary institutions have co-op programs, and over 400,000 secondary students participate in them.

- Research indicates that students and employers like co-op programs, but evidence of positive academic or occupational outcomes is conflicting and inconclusive.

- There are some new youth apprenticeship programs, in which students receive occupational training on the job under the supervision of mentors, but they are generally small. A 1993 canvass of states located 55 youth apprenticeship programs. Altogether, the programs enrolled about 3,400 students.

- Some work experience programs at the community college level are a direct extension of high school programs. Although far fewer students participate in these programs at the postsecondary level, the anecdotal evidence about program effects is positive.

Use standards and measures developed by the states for program improvement.

As required in the Perkins Act, all states have now developed performance assessment systems, many developing more than the minimum measures and standards set forth in the statute. Some 27 states have at least two systems of performance measures in place--one for secondary and one for postsecondary vocational education. In addition, 34 states have designed their accountability systems to evaluate the performance of all students in vocational education programs at the secondary level, and 30 states are doing the same at the postsecondary level.

Most states have developed measures of academic skills (47), retention or completion (42), and occupational competencies (43), and some (28) are using placement as a measure of labor market outcomes.

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- At the secondary level, about half of the states are using a one-time required test to measure academic skills. Others use a pre- and post-test model or course completion rates to measure academic skill gain.

- States' methods for measuring academic gain are less consistent at the postsecondary level. Some 23 states are using completion of specific basic and advanced courses as measures of academic gains; 15 have left it up to local school districts and postsecondary institutions to select assessment instruments and measurement tools.

- Almost all states are using placements to measure labor market outcomes of vocational students; 49 states do so at the secondary level and 45 at the postsecondary level. Forty states use training-related placements as a measure. Included in placement measures are factors such as joining the military or enrolling in further education/training, as well as job placement. Few states are using entry wages and job retention as measures of labor market outcomes.

The literature on occupational skill standards suggests that developing a comprehensive system of standards may provide a number of benefits for students. However, little has been done to develop industry-oriented skill standards. Those industry-level or occupational cluster standards that have been developed were done haphazardly, are poorly defined, and not tied to school curricula.

- Industry-related skill standards that are being developed by most business-education-labor technical committees are the occupational or job-specific standards characteristic of most occupational certification in the United States (e.g., electrician, hairdresser, nurse).

- Many states lack access to appropriate and reliable occupational standards and assessment instruments, and have left the selection or development of such to localities.

Local districts have encountered some difficulties in translating state-developed plans into locally implemented systems. Little or no attention has been given to how local educational agencies should use measures or standards to evaluate and improve local programs. In addition, state and local administrators do not have access to training or technical assistance in techniques of using measures and standards for local program improvement.

- Local implementation is time-consuming because it often involves modifying the data collection of many local assessment systems within a state.

- Moreover, the absence of widely accepted industry skill standards and assessment instruments makes it difficult for localities to assess occupational gains at both the secondary and postsecondary levels. Many postsecondary institutions also find it difficult to measure academic gains.

By spring 1993, many states were working on procedures for adjusting performance measures and standards for special populations. States are further along in these efforts at the secondary level than at the postsecondary level, and have most often developed measures and standards for disabled students, followed by disadvantaged students and students with limited English proficiency (LEP).

In all states, the development of a performance measurement system involves some coordination with other programs receiving federal assistance, but the extent of this coordination varies among states.

The Office of Vocational and Adult Education's (OVAE) Division of Vocational-Technical Education is monitoring a task order to identify and implement a common set of outcome measures to establish a unified system of performance measures. Each state vocational educational agency, in compliance with the Perkins Act, developed a system of outcome measures and standards for evaluating secondary and postsecondary vocational education programs in the state. Each school-to-work partnership, in compliance with the School-to-Work Opportunities Act, is developing performance measurement systems to provide information on participation, outcomes, and the progress achieved in meeting the diverse needs of students. This task order will help state school-to-work (STW) partnerships and the state vocational education agencies create a common set of outcome measures.

The current legislation requires the states to collect data on academic outcomes, school retention and completion, and skill preparation for postsecondary education and workforce entry. Although the Perkins Act is fairly explicit in defining the broad areas in which information must be compiled, the legislation offers states considerable flexibility in defining specific measures. For example, while all states must report information about student learning and competency gains, each may define its own measure of academic and occupational skill. The definition of who is a vocational student is another example that is open to interpretation.

Use a wide range of strategies to promote education reform.

Education reform has gained momentum in the states, and vocational program administrators at the state and the local levels, along with parents and teachers, are cooperating with other programs in activities. Eight states included Perkins in their consolidated application under the Improving America's Schools Act, and more are expected in the next period.

Investments in vocational education, particularly in tech-prep education, have helped states and communities to implement education reforms and create school-to-work systems. At the secondary level, OVAE has identified about 30 "New American High Schools" that are using federal vocational education and school-to-work resources to improve achievement for all students.

The Department is sponsoring Department-wide integrated reviews of federal programs. The purpose of an integrated review, through monitoring and technical assistance, is to improve teaching and learning for all children by supporting effective implementation of federal programs; encouraging cross-program coordination, planning, and service delivery; and enhancing integration of federal programs and local initiatives.

Analysis of the 1992 NELS shows that applied learning is a fairly prominent feature of secondary vocational education, and applied academic courses are increasingly being accepted as satisfying postsecondary admissions requirements.

NAVE reports that 29 states accept applied academic courses for credit toward university admission under various circumstances. "Principles of Technology" is the most widely accepted course, with 26 of the 29 states accepting a form of this course. Applied mathematics is accepted in 19 of the 29 states.

IV. Planned Studies

Several studies are being planned in the area of enrollment/completion in postsecondary vocational education, and academic achievement and labor market outcomes of vocational education.

V. Sources of Information

1. Program files.
2. The Continuing Development of Local Tech-Prep Initiatives. (Princeton, NJ: Mathematica Policy Research, 1996).
3. The Emergence of Tech-Prep at the State and Local Levels. (Princeton, NJ: Mathematica Policy Research, 1995).
4. National Assessment of Vocational Education (NAVE) Final Report, (Washington, DC: U.S. Department of Education, 1994).

VI. Contacts for Further Information

Program Operations: Ron Castaldi (202) 205-9444
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Vocational Education--Indian and Hawaiian Natives Programs
(CFDA No. 84.101)

I. Legislation

Carl D. Perkins Vocational and Applied Technology Education Act (P.L. 101-392), Title I, Part A, Section 103 (20 U.S.C. 2313) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended the availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$ 5,281,476	1988	$10,462,777
1980	6,929,755	1989	10,808,990
1981	6,182,654	1990	11,099,592
1982	6,182,654	1991	11,104,009
1983	5,936,734	1992	12,352,107
1984	6,645,484	1993	12,643,631
1985	9,895,639	1994	12,635,000
1986	9,564,367	1995	14,757,765
1987	10,414,352	1996	14,666,220

III. Analysis of Program Performance

A. Goals and Objectives

Indian Program

The Indian Vocational Education Program (IVEP) targets (1) tribal organizations of any Indian tribe that is eligible to contract with the Secretary of the Interior under the Indian Self-Determination and Education Assistance Act or under the act of April 16, 1934; and (2) Bureau of Indian Affairs-funded schools offering a secondary program. Any tribal organization or bureau-funded school may apply individually or as part of a consortium with one or more other eligible applicants.

Hawaiian Natives Program

The authorization for the Hawaiian Natives Vocational Education Program stipulates that grants can be made only to organizations that primarily serve and represent Hawaiian Natives and are recognized by the governor of the state of Hawaii. Thus far, only one organization, Alu Like Inc., has received this recognition. Alu Like is a nonprofit organization with the primary mission of helping Hawaiian Natives to achieve social and economic excellence (III. 2).

Alu Like funds vocational education projects for students in secondary schools and community colleges and for out-of-school youth and adults. These projects are planned with Hawaii's established public educational systems. The program offers direct training that results in certification in a technical area as well as in job placement and follow-up. In addition, the program, through counseling and financial assistance, enables Hawaiian Native students to participate more fully in postsecondary vocational and technical programs.

B. Strategies to Achieve the Goals

Indian Program

IVEP provides funds through a competitive grant process for programs in traditional vocational areas such as construction, plumbing, agribusiness, forestry, and land management, as well as emerging opportunities in business management/ entrepreneurship, tourism, computer programming, computer graphics, health occupations, heavy equipment operations, hospitality and casino management. These programs provide certificate and associate degree options.

Characteristics of Grants

Some 15 awardees are educational institutions, and 27 awardees are tribal organizations (3 of which are consortia). All grantees are in areas where Indians have high unemployment rates and significant high school dropout rates. Many are located in remote areas that, because of location, are self-sustaining communities. In response to these factors, special consideration is given to exemplary approaches that coordinate with other available agency services and are developed in conjunction with tribal economic plans.

Features and activities of IVEP grants

- Most have strong affiliations with Job Opportunities Basic Skills (JOBS) and Job Training Partnership Act (JTPA) programs for outreach and referral, adult basic education, and job skills training.
- Most have developed a comprehensive student services component that helps students with career and personal counseling, child care services, tutoring, and transportation.
- Many of the most recent awardees have requested that they have access to the Internet to reduce the effects of their remote location and to facilitate communication and access to information resources.
- Two grants are developing distance learning facilities affiliated with community colleges, technical schools, or universities.

Hawaiian Natives Program

The mission of the Hawaiian Natives Vocational Education Program, administered by Alu Like, is to foster changes in the Hawaiian vocational education delivery system to ensure that Hawaiian Native students participate in, and benefit from, vocational education to the same degree as other ethnic groups in the state. Goals of projects funded by the program include increasing the number of

Hawaiian Native vocational education high school students who pursue vocational education at the community college level, adoption of methods culturally appropriate for teaching basic academic skills to Hawaiian Natives at the intermediate level, improving the retention and completion rates of Hawaiian Natives enrolled in community college vocational education programs, and establishing community-based vocational education facilities to assist Hawaiian Native adults to reenter the public vocational system.

C. Program Performance—Indicators of Impact and Effectiveness

Indian Program

Each IVEP grant must satisfy federal requirements as well as the program and performance goals presented in their application. The ultimate goal is to provide training that leads to job placement for youth and adults, 16 years of age and older. Statistical reports provide information about the numbers of participants in various vocational areas, and the numbers of completers and placements.

Final reports are not available because most grants remain active, but the following programs are examples of the achievements and outcomes of these projects:

- The Zuni Vocational Education Program in Zuni, New Mexico, with Rehoboth Christian Hospital and Doylestown Hospital in Pennsylvania, developed an accelerated 12-month program for training registered nurses. The program achieved a 90 percent completion rate with 100 percent placement. The vocational program as a whole exceeded projected enrollment by 20 percent.

- The Bay Mills Indian Community Program of Brimley, Michigan, began as a vocational project housed in the basement of the tribal center, serving 11 students in 1981. It has since evolved into an accredited, tribally controlled, community college through its success in developing and delivering quality programs in fields such as Prenursing/Health Careers, Tribal Business Management, Computer Information Systems, and Office Technology. Today the Bay Mills Community College has an enrollment of 462. Its lastest IVEP grant, which ended in April 1996, exceeded projected enrollment by 61 percent with placement exceeding the 90 percent proposed. The initial IVEP grant in 1981 provided the seed money that, over the years, has expanded to include multiple funding sources and extended services for the tribe.

- The Menominee Nation Project in Keshena, Wisconsin, proposed training 70 students as administrative assistants and microcomputer specialists with placement estimated for 53 students. The final figures showed the project exceeded both the proposed enrollment and placement projections. This project started as a vocational education project at the tribal training facility. During the past three years of the IVEP funding, this facility has grown and developed, recently applying for accreditation as a tribally controlled community college.

- The Stone Child Community College Project in Box Elder, Montana, has reduced the college student withdrawal rate from 50 percent to 10 percent as a result of an aggressive student support services plan which provides intensive early intervention counseling that is initiated by teacher referrals.

- The Torres-Martinez Desert Cahuilla Project in Thermal, California, provided vocational training for jobs as hazardous waste technicians, emergency medical technicians, fire science, security, recreation management, and secretarial/ administrative assistants. Enrollment exceeded projections by 70 percent, and a placement rate of 86.3 percent was maintained. This grant provided vocational training for 18 percent of the working-age tribal population.

Hawaiian Natives Program

The Hawaiian Natives Program operates new and ongoing projects for secondary, community college, and adult students. The secondary projects are operated in high schools where the majority of the students are Hawaiian Natives. Many such high schools are located in isolated areas with few local businesses, so the projects, like one at Waialua High School, emphasize entrepreneurial activities. This school, which has planned, cultivated, and marketed mushrooms on the school grounds, has realized a profit from selling its product to tourist hotels in Honolulu. Next year, three additional high schools are planning similar projects.

The targeted secondary schools also are increasing their use of "career academies" as a means of school reform. The Building and Construction Trades Academy at Kailua High School which touts its academy at various school-to-work conferences across the state, has a program to train environmental pollution specialists. This intensive seven-week program, which was established with Lawrence Livermore National Laboratory, introduced several dozen high school students to a promising college major.

The University of Hawaii Community College Student Retention Model, which is supported in part by the Hawaiian Natives Program, is updating its data collection system to track the progress of Hawaiian Native students in the community colleges. An outreach effort has recruited an increased number of Hawaiian Native high school students for enrollment in community college programs. While in school, students receive counseling, tutoring, peer support, and financial assistance. Over 2,500 Hawaiian Natives have been served in this manner.

For adult students, the grantee uses a Hawaiian Native cultural focus to teach entrepreneurial concepts and foster business start-ups.

The project has reached more than 1,200 secondary and 400 adult entrepreneurs in this manner.

IV. Planned Studies

Indian Program

Final report analysis will provide information on the achievement of goals and objectives as well as the effect of agency and tribal economic plan coordination on the success of the projects.

Hawaiian Natives Program

The grant provides for an evaluation component. The final report will provide information on achievement of goals and objectives of the projects.

V. Sources of Information

Indian Program

1. Program files.

Hawaiian Natives Program

1. Program files.
2. Pelavin, Diane C., Levine, Andrea B, and Sherman, Joel D., *Descriptive Review of Set-Aside Programs for Hawaiian Natives* (Washington, DC: Pelavin Associates, April 1989).

VI. Contacts for Further Information

Program Operations:	*Indian Vocational Education* Marie Buker, (202) 205-9379 Gwen Washington, (202) 205-9270
	Hawaiian Natives Vocational Education Paul Geib,(202) 205-9962
Program Studies:	Ann Nawaz, (202) 401-3630

Vocational Education--Community-Based Organizations Program
(CFDA No. 84.174)

I. Legislation

Carl D. Perkins Vocational and Applied Technology Education Act of 1990 (P.L. 101-392), Title III, Part A (20 U.S.C. 2351-2352, 2471) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act, (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208), essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation
1987	$6,000,000
1988	8,845,000
1989	8,892,000
1990	10,850,000
1991	11,711,000
1992	12,000,000
1993	11,785,000
1994	11,785,000
1995	0
1996	0

III. Program Goals and Objectives

A. Goals and Objectives

The goal of the program was to give states financial assistance to operate programs that provided special vocational services to disadvantaged youth who were not adequately served by the regular vocational education system. Projects required the collaboration of public agencies, community-based organizations (CBO), and businesses. Funds were allocated in accordance with a statutory formula to states upon submission and approval of a state plan that addresses state needs. Program appropriations ended in FY 1994, and this is a close-out report on the program.

IV. Planned Studies

None.

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V. Sources of Information

1. Program files.
2. Descriptive Review of Data on the Vocational Education Community-Based Organizations Program (Washington, DC: Pelavin Associates, March 1990).

VI. Contacts for Further Information

Program Operations:	Ron Castaldi, (202) 205-8981
Program Studies:	Ann Nawaz, (202) 401-3630

Vocational Education--Consumer and Homemaking Education
(CFDA No. 84.049)

I. Legislation

The Carl D. Perkins Vocational and Applied Technology Education Act (as amended by P.L. 101-392), Title III, Part B (20 U.S.C. 2361-2363)(expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act, (GEPA) through September 30, 1996, the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$15,000,000	1988	$32,791,000
1975	35,994,000	1989	33,118,000
1980	43,497,000	1990	34,118,000
1981	30,347,000	1991	33,351,000
1982	29,133,000	1992	34,720,000
1983	31,633,000	1993	34,720,000
1984	31,633,000	1994	34,720,000
1985	31,633,000	1995	0
1986	30,273,000	1996	0
1987	31,273,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program was to assist the 50 states and the outlying areas in conducting consumer and homemaking education programs that prepare all youth and adults for the occupation of homemaking. Funds could be used to provide instruction in food and nutrition, individual and family health, consumer education, family living and parenthood education, child development and guidance, housing, home management (including resource management), and clothing and textiles. At least one-third of federal funds were required to be used for programs, services, and activities in economically depressed areas or areas with high rates of unemployment to improve the quality of family life. Grants were made through a statutory formula to the 50 states, Puerto Rico, the District of Columbia, and the Virgin Islands in FYs 1993 and 1994. Program appropriations ended in FY 1994, and this is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

1. Enrollment Source: Vocational Home Economics Education Coalition (Washington, DC: U.S. Department of Education, Division of Vocational Home Economic Education, Office of Vocational and Adult Education, 1991).

2. Research and Curriculum Projects by State Departments of Education, 1990-91 (Washington, DC: U.S. Department of Education, Division of Vocational Home Economics Education, American Vocational Association, and Office of Vocational and Adult Education, 1992).

3. State Annual Performance Reports for Vocational Education (Washington, DC: U.S. Department of Education, Division of Vocational Education, Office of Vocational and Adult Education, December 1992).

4. Program files.

VI. Contacts for Further Information

Program Operations:	Ruby Jenkins, (202) 205-9454
Program Studies:	Ann Nawaz, (202) 401-3630

Vocational Education--Tech-Prep Education
(CFDA No. 84.243)

I. Legislation

The Carl D. Perkins Vocational and Applied Technology Education Act, P.L. 101-392, Title III, Part E (20 U.S.C. 2394) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the Act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation
1991	$ 63,000,000
1992	90,000,000
1993	104,123,000
1994	104,123,000
1995	180,000,000
1996	100,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the Tech-Prep Education Program is to develop systematic links between secondary and postsecondary institutions to better prepare students to make the transition from school to work. Tech-prep is a planned sequence of study in a technical field beginning as early as the ninth year of school. The sequence extends through two years of postsecondary occupational education and includes an articulation agreement between secondary and postsecondary institutions that form consortia. Tech-prep education can also include an apprenticeship component of at least two years following secondary instruction. Tech-prep integrates academic and vocational education, and teaches students mathematical, scientific, communications, and technological skills needed to earn a two-year associate degree or a two-year certificate in a given occupational field.

B. Strategies to Achieve the Goals

Under Title III-E of the Perkins Act, federal funds are distributed to states according to a statutory formula. States, in turn, give grants for planning and implementation to eligible local consortia of secondary and postsecondary institutions on a competitive or a formula basis. States administer tech-prep through their state Boards of Vocational Education and are responsible for providing federally required plans and reports, reviewing and processing applications for local projects, and providing technical assistance.

Activities provided under the Tech-Prep Education Program include developing tech-prep curriculum appropriate to students' needs; providing in-service training for teachers; providing training to counselors on student recruitment and counseling to ensure successful completion of tech-prep, and providing equal access to the full range of Tech-Prep Education programs to special populations; and providing preparatory service to help all populations participate in such programs.

C. Program Performance—Indicators of Impact and Effectiveness

Increase the number of vocational education students earning postsecondary education credentials.

According to data from the National Evaluation of the Tech-Prep program, tech-prep students are showing increasing rates of postsecondary enrollment. The national evaluation reports that the number of tech-prep students entering postsecondary activities increased substantially between 1994 and 1995. In 1993, 62 consortia reported that 3,645 tech-prep high school graduates entered postsecondary education institutions or programs that fall. In 1994, 149 consortia reported that a total of 14,509 tech-prep high school graduates had begun postsecondary programs in fall 1994. The 14,509 postsecondary students in 1994 represent 56 percent of the tech-prep students who graduated from high school in reporting consortia in spring 1994, up from the 1993 rate of 49 percent. These percentages, however, are computed on a very small portion of all consortia.

Although the majority of tech-prep postsecondary students are enrolled at community or technical colleges, more students reportedly chose to enter four-year colleges or universities in 1994 than in 1993. The proportion of tech-prep postsecondary students entering four-year institutions increased from 21 percent in 1993 to 28 percent in 1994.

IV. Planned Studies

The Department's five-year national evaluation of the Tech-Prep Education Program, which began in the fall of 1992, is in its final phase. The evaluation has two main focuses: (1) to describe tech-prep education at the state and local levels, and (2) to identify the best practices and effective approaches of local tech-prep projects for improving occupational education. Data collection began in the fall of 1993 for all three major components of the evaluation: a survey of state tech-prep coordinators, a survey of local tech-prep coordinators, and in-depth studies of selected sites. Several interim reports have been produced, and the final report will be available in 1998 when the evaluation is completed. No new studies of tech-prep have been planned.

V. Sources of Information

1. Program files.

2. The Continuing Development of Local Tech-Prep Initiatives (Princeton, NJ: Mathematica Policy Research, 1996).

3. The Emergence of Tech-Prep at the State and Local Levels (Princeton, NJ: Mathematica Policy Research, 1995).

4. National Assessment of Vocational Education (Washington, DC: U.S. Department of Education, 1994).

VI. Contacts for Further Information

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Vocational Education--Tribally Controlled Postsecondary Vocational Institutions
(CFDA No. 84.245)

I. Legislation

Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990, Title III, Part H, (P.L. 101-392), (20 U.S.C. 2397) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208), essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation
1991	$2,440,000
1992	2,500,000
1993	2,946,240
1994	2,946,240
1995	2,919,000
1996	2,919,000

III. Analysis of Program Performance

A. Goals and Objectives

The Tribally Controlled Postsecondary Vocational Institutions Program targets funds on tribally controlled postsecondary vocational institutions that (1) are governed by a board of directors or trustees, a majority of whom are American Indians; (2) demonstrate adherence to stated goals, a philosophy, or a plan of operation that fosters individual American Indian economic self-sufficiency and opportunity; (3) have been in operation for at least three years; (4) are accredited by a nationally recognized accrediting authority for postsecondary vocational education; and (5) enroll the full-time equivalency of not fewer than 100 students, of whom the majority are American Indians. The two institutions supported in FY 1991 (the first year of funding) were Crownpoint Institute of Technology (Crownpoint, New Mexico) and United Tribes Technical College (Bismarck, North Dakota). The authorizing statute requires the Secretary to give priority for funding in future years to the grantees who were previously funded.

B. Strategies to Achieve the Goals

Services Supported

Program grants support the operation and improvement of tribally controlled postsecondary vocational institutions to ensure continued and expanded educational opportunities for American Indian students, and to allow for the improvement and expansion of the physical resources of such institutions. Among the services provided through program funds are the maintenance and operation of the program, including development costs, costs of basic and special instruction, costs of materials, student tuitions, administrative expenses, boarding costs, transportation, day care, and family support for students and their families (including contributions to the costs of education for dependents); capital expenditures, including operations and maintenance and minor improvements and repair, and physical plan maintenance costs; and costs associated with repair, upkeep, replacement, and upgrading of the instructional equipment.

Strategic Initiatives

By statute, only tribally controlled postsecondary vocational institutions are eligible for assistance under the Tribally Controlled Postsecondary Vocational Institutions program. Management periodically conducts meetings for project directors to allow them to share program strategies and information. The Department of Education also provides training materials and technical assistance to the grantees in an effort to develop high-quality vocational education programs.

C. Program Performance—Indicators of Impact and Effectiveness

The program reports that the program has generally improved the operations of both tribally controlled postsecondary vocational institutions, including their recordkeeping curriculum development, and training facilities on campus.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Brush, Lorelei, Traylor, Kerry, and O'Leary, Michael. *Assessment of Training and Housing Needs Within Tribally Controlled Postsecondary Vocational Institutions* (Washington, DC: Pelavin Associates, February 1993).

VI. Contacts for Further Information

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Program Studies:	Ann Nawaz, (202) 401-3630

Vocational Education National Program--Research
(CFDA Nos. 84.051)

I. Legislation

Carl D. Perkins Vocational and Applied Technology Education Act (P.L. 101-392), Title IV, Part A, (Sections 401, 402, 404) (20 U.S. C. 2401, 2401, 2404) expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under General Education Provisions Act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$5,935,000	1991	$6,831,000
1985	6,535,000	1992	12,000,000
1986	7,369,000	1993	9,662,000
1987	7,050,000	1994	9,662,000
1988	7,276,000	1995	6,851,000
1989	6,965,000	1996	4,998,000
1990	6,986,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to conduct and disseminate research that contributes to improving the quality and access of vocational education for all students, particularly special populations; developing the academic and occupational competencies for all segments of the population needed to work in a technologically advanced society; is readily applicable to the vocational setting; and is of practical application to vocational education administrators, counselors, and instructors. The program also conducts research on implementation of performance standards and measures and their use on the participation of students in vocational education programs, and on successful methods for providing students with experience in, and understanding of, all aspects of the occupations and industry in which the students are preparing to work.

B. Strategies to Achieve the Goals

Services Supported

Part A of the Perkins Act authorizes the funding of the National Center for Research in Vocational Education (NCRVE). The National Center for Research in Vocational Education is competitively awarded, and mandated to carry out short-term and multiyear projects in applied research and development, leadership development, dissemination, development of information for planning and policy development, technical assistance, and evaluation. If two centers are funded, one center must concentrate on applied research and development and the other on dissemination and training. Currently, a single center carries out both of these responsibilities.

NCRVE performed its legislatively mandated services through research and development activities related to (a) the economic and institutional context of vocational education; (b) innovative and effective practices in vocational education; (c) vocational education students; (d) secondary and postsecondary teachers and administrations and vocational education reform; and (e) accountability and assessment in vocational education.

Part A also authorizes Curriculum Coordination Centers (CCCs), which worked closely with states to disseminate curriculum information, provided technical assistance on both developing and implementing new curricula, and served as a clearinghouse for curricular and instructional materials across a wide range of occupational areas. CCCs were competitively awarded on a rotational basis with two new centers awarded each year. The contracts were for three years. As a result of the FY 1995 rescissions, the six regional Curriculum Coordination Centers were phased out as of March 31, 1996.

IV. Planned Studies

A study titled "Developments in State 'Systems' of Vocational Education and Job Training" will investigate state developments in education and job training systems to determine the changes (if any) that states have made in the past several years; the range of programs that are included in new governing mechanisms; the power that the new governing structures have; and the assessments and performance standards that are being established to monitor and improve the effectiveness of state systems.

A study titled "Learning and Doing--The Future of Workforce Education and Training" is intended to produce a policy paper that takes a retrospective look at the evolution of the policies and practices surrounding education for work in the United States. It will also describe how learning and doing could form a more comprehensive, systematic foundation for organizing education and work in the next century.

V. Sources of Information

1. Program files.

2. Reports and research studies representing the six areas addressed by NCRVE.

3. Conference Monograph: New Visions: Education and Training for an Innovative Work Force.

VI. Contacts for Further Information

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Vocational Education National Programs
Demonstrations
(CFDA Nos. 84.199D, 84.199E, 94.100, 94.244, 94.248)

I. Legislation

The Carl D. Perkins Vocational and Applied Technology Education Act, P.L. 101-392, Title IV, Section 418, 420A (20 U.S.C. 2420a) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under the General Education Provisions Act (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended the availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation
1984	$570,000
1985	143,000
1986	0
1987	450,000
1988	14,792,000
1989	14,594,000
1990	11,096,000
1991	12,970,000
1992	20,000,000
1993	16,705,000
1994	23,455,000
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program was to conduct model demonstration programs in vocational education, with priority given to demonstration grants that provided for the development of telecommunications materials for use in vocational education instruction and established demonstration centers for training dislocated workers. Other authorized demonstration programs include (1) grants for professional development; (2) grants for developing business and education standards for competencies in industries and trades; (3) regional centers that provide training for skilled trades; (4) projects that integrate vocational and academic instruction; and (5) cooperative demonstration programs that improve access to high-quality vocational education programs for special populations, demonstrate successful cooperation between public and private agencies, assist in overcoming national skill shortages, improve curriculum and instruction in consumer and homemaking education, help disadvantaged youths prepare for technical and professional health careers, and improve access to vocational education through "agriculture action centers."

Program appropriations ended in FY 1994. In 1996, multiyear demonstrations, funded by these appropriations, were operational in the following areas:

Business and education standards. This demonstration provided financial assistance for organizing and operating business-labor-education technical committees to develop national skill standards for competencies in industries and trades. At a minimum, standards were to include (1) the number of hours of study needed to be competent in such divisions or specialty areas; (2) the minimum tools and equipment required in such divisions or specialty areas; (3) minimum qualification for instructional staff; and (4) minimum tasks to be included in any course of study purporting to prepare individuals for work in such areas.

Career academies. This was a joint initiative between the Department of Education and the Department of Defense to support the development of career-focused "schools within schools." The objectives of the program were to improve students' performance in school, increase students' likelihood of graduating, and improve the quality of the nation's workforce. To this model, the Department of Defense added the high school Junior Reserve Officer Training Corps (JROTC), which provides instruction in citizenship, leadership, and life skills.

Correctional education. This demonstration was designed to expand or improve existing vocational education programs in correctional institutions, use curricula that included literacy and basic skills training, integrate academic content with vocational content, and provide for "live work." The program also included transitional services, such as coordinating services, provided by different community agencies.

Community education employment. Under this demonstration, the Department provided funds to establish centers to provide comprehensive vocational-technical education, in small-class-size settings, to youth in urban and rural areas that had a high concentration of low-income families. Centers were organized into one or more programs specializing in different areas of study of particular interest and employment opportunities for the student population. Centers operated on an extended-year and extended-day basis, and were designed to provide youth with the education, skills, and enrichment necessary to ensure graduation from secondary school and transition from secondary school to postsecondary school or employment.

Integration of vocational and academic learning. These demonstrations helped projects develop, implement, and operate programs using models of curricula that integrate vocational and academic learning. Projects were encouraged to (1) demonstrate strong ties with state's school-to-work activities through the integration of academic and vocational skills at work-based learning sites; (2) demonstrate strong ties with the business and industry skill standards projects; (3) include both vocational and academic faculty and employers in the design of integrated curricula and courses that are targeted at the secondary and postsecondary levels of instruction ; (4) get the educational community and employers involved in providing in-service training for teachers of vocational education students, and administrators involved in planning, implementing, and operating integrated curricula or programs; (5) disseminate information and materials regarding effective strategies for integrating vocational and academic learning to national audiences; and (6) evaluate programs that integrate vocational and academic learning through the use of experimental and control group samples.

Manufacturing technologies. This demonstration supported a partnership of a university-based research institute and a training center in a two-year postsecondary vocational education institution to demonstrate the integration of technical research with vocational education in manufacturing technology. The program also supported the development and demonstration of a national training model to overcome skill shortages in the application of new technologies to the manufacturing process within the American machine tool industry.

School-to-Work. The demonstration supported well-established and effective school-to-work transition programs to evaluate why these programs work and to share their success in helping vocational education students learn the advanced skills needed to move from the classroom to productive employment. Grants were awarded for three-year periods, and supported program operations between 1992 and 1996. Projects were also designed to support submission and review for Program Effectiveness Panel (PEP) validation.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. Interim Report: Descriptive, comparative, analysis and evaluation of the business/education skill standards projects (Bethesda, MD: Aguirre International, 1995).
3. Occupational Skill Standards Projects (Washington, DC: U.S. Departments of Education and Labor).
4. Synthesis of conversations with Skill Standards Pilot Projects (Washington, DC: Institute for Educational Leadership).
5. The Integration of Academic and Vocational Education: Lessons from the Field (Washington, DC: U.S. Department of Education, 1996).

VI. Contacts for Further Information

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School-To-Work Demonstration Programs

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Bilingual Vocational Training Discretionary Grants
(CFDA Nos. 84.007, 84.099, 84.100)

I. Legislation

The Carl D. Perkins Vocational and Applied Technology Education Act (P.L. 101-392), Title IV, Part E, Section 441 (20 U.S.C. 2441) (expires September 30, 1997). Although appropriations are authorized in the statute only through FY 1995 (with a one-year extension under the General Education Provisions Act, (GEPA) through September 30, 1996), the Omnibus Consolidated Appropriations Act, 1997 (P.L. 104-208) essentially authorized the act through FY 1997 and extended availability of funds through September 30, 1998.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$2,800,000	1988	$3,734,000
1980	4,800,000	1989	3,771,000
1981	3,960,000	1990	2,959,000
1982	3,686,000	1991	2,887,000
1983	3,686,000	1992	3,000,000
1984	3,686,000	1993	2,946,240
1985	3,686,000	1994	2,946,240
1986	3,527,000	1995	0
1987	3,686,000	1996	0

III. Analysis of Program Performance

A. Goals and Objectives

This program had three major components, each with its own specific goals and objectives.

1. Bilingual vocational training. Funding was provided to projects that conducted both occupational skills instruction and job-related English as a Second Language instruction to persons with limited English proficiency (LEP), out-of-school youth, and adults.

2. Bilingual vocational instructor training. Funding was provided to projects to conduct preservice and in-service training for instructors, aides, counselors, and other ancillary personnel participating, or preparing to participate, in bilingual vocational training programs that serve LEP persons.

3. Bilingual vocational materials, methods, and techniques. Funding was provided to develop instructional and curriculum materials, methods, or techniques for bilingual vocational training for LEP persons.

Program appropriations ended in FY 1994 and this is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts For Further Information

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School-To-Work Opportunities Act
(CFDA No. 84.278)

I. Legislation

School-to-Work Opportunities Act, Public Law 103-239, 108 Stat 568, May 4, 1994, (20 U.S.C.6 101-6235) (expires October 1, 2001).

II. Funding History

Fiscal Year	Appropriation
1994	$45,000,000*
1995	122,500,000*
1996	180,000,000*

*Identical amounts were included in the 1994 and 1995 budgets for the Department of Labor; $170 million was included in 1996.

III. Analysis of Program Performance

A. Goals and Objectives

The School-To-Work (STW) program--or school-to-careers program as it is often called--is a one response to more than a decade of renewed interest in improving American education. Since the early 1980s, researchers, educators, employers, and policymakers have sought ways to make education relevant to students' future careers, adapt instruction to the ways in which students learn best, and ensure that students learn the habits and skills that employers value. By adding meaningful context from the world of work, educators hope to engage the interest and intellect of students and help them learn more effectively. Whether learning by doing and in context is accomplished at school, in a work setting, or both, STW seeks to improve career prospects and academic achievement in high school, and thereby boost enrollment in postsecondary education and increase the likelihood of high-skill, high-wage employment.

B. Strategies to Achieve the Goals

Services Supported

The STW program operates through a partnership between the Departments of Education and Labor. Every state has access to seed money to design a comprehensive school-to-work transition system, and to date, 37 states have competed successfully to receive one-time five-year grants to implement school-to-work systems. These systems integrate academic and vocational education, link secondary and postsecondary education, provide learning opportunities at the work site, and fully engage the private sector in the process.

Although states and localities have broad discretion to design their own systems, each system must have the following core components:

- **School-based learning**, including a coherent multiyear sequence of integrated academic and vocational instruction--involving at least two years of secondary education and one or two years of postsecondary education--tied to occupational skill standards and challenging academic standards;

- **Work-based learning**, providing students with workplace mentoring and a planned program of work experience linked to schooling; and

- **Connecting activities**, to ensure coordination of work- and school-based learning components by involving employers, improving secondary-postsecondary linkages, and providing technical assistance.

STW funds are used primarily for grants to states and local communities to build lasting systems.

In addition, the Departments of Education and Labor conduct a number of national activities designed to support the work carried out by state and local grantees. These activities include the following:

- Conducting a national evaluation of the School-to-Work Opportunities Act.

- Establishing, in collaboration with states, a system of performance indicators and measures for assessing state and local progress.

- Providing training and technical assistance to states, local partnerships, and others. A Learning and Information Center has been established to provide technical assistance and disseminate information. In addition, the Learning Center manages a "line of credit" that each state with an implementation grant can use to purchase technical assistance products and services from a wide range of qualified experts.

Major School-To-Work Grants and Contracts*

Awards	1996	1997	1998**
State development grants	15	0	0
State implementation grants			
New awards	10	15	0
Continuation awards	27	37	52
Average amount of award	$7,260,000	$6,260,000	$6,270,000
Local partnership grants			
New awards	29	0	0
Continuation awards	0	0	0
Average amount of award	$482,760	0	0

Urban/Rural Grants			
New awards	25	20	0
Continuation awards	53	78	98
Average amount of award	$448,720	$408,160	$408,160
Grants to outlying areas	7	7	7
Average amount of award	$200,000	$200,000	$200,000
Program for Indian youth			
New awards	8	5	0
Continuation awards	18	26	31
Average amount of award	$69,230	$64,520	$61,290
National evaluation	1	1	1
Learning and information center	1	1	1

* Awards reflect funds appropriated to both the Department of Education and the Department of Labor.

** FY 98 awards are projected based on Administration budget request.

Strategic Initiatives

Three major initiatives undertaken to support STW are (1) organization of state-level strategic planning institutes, (2) development of a STW Web site, and (3) creation of a technical assistance resource bank. Since August 1996, teams from 20 states have attended institutes designed to strengthen the connection among grant proposals, subsequent state strategies, and performance agreements. The STW Learning Center has developed and maintains an Internet home page with links to more than 40 other STW-related sites (http://www.stw.ed.gov). Finally, a resource bank of 141 technical assistance providers has been selected in accordance with criteria related to ability to deliver technical assistance to states receiving grants for STW implementation. Grantees access services of the resource bank through a "line of credit," enabling each state to customize technical assistance to meet its own needs.

C. Program Performance—Indicators of Impact and Effectiveness

The Departments of Education and Labor have identified a variety of indicators with which to assess program performance. These indicators include student participation, outcomes for in-school and out-of-school youth, involvement of employers and educational institutions, and building school-to-work systems. For details, see attachment A at the end of this chapter.

Several major activities to obtain accurate and timely data measuring program performance are under way. First, a five-year evaluation is being done to assess the progress states and communities are making in developing and implementing STW systems. Second, the National School-to-Work Office is working closely with states to develop a system of performance indicators and measures. Finally, several large-scale national surveys are assessing the participation of employers (V.3) and youth in STW (V.4).

Student participation in School-To-Work

Even this early in the development of STW, according to the National School-to-Work Office, states are reporting relatively large numbers of students participating in STW. In communities building STW systems as of June 1996, 10 percent of high school students were engaged in work-based learning tied to classroom instruction, and 26 percent of high school students were in classes where academic and vocational instruction is linked (V.5). Other data suggest, however, that students' exposure to an in-depth comprehensive set of school-to-work activities is limited. Preliminary data from a national evaluation show that 63 percent of high school seniors in an eight-state survey[1] have participated in certain career development activities, including work site visits, job shadowing, employer presentations, work-readiness class, and use of career interest inventories. Such activities are available to most students but tend to be of limited scope and duration. Therefore, relatively few students are selecting career majors integrated with academic coursework and participating in work-based learning tied to school activities. In fact, the evaluation estimates that at this point only about 2 percent of the seniors surveyed have participated in a comprehensive STW program of study that includes multiple key components of STW (V.1).

Student Achievement

Data on the educational status of out-of-school youth will be available in July 1998 from a National Longitudinal Survey of Youth being conducted by the Department of Labor's Bureau of Labor Statistics (V.4). In addition, the national evaluation of STW is collecting high school transcripts to determine whether students participating in STW also take a full range of academic courses. This evaluation is also following high school graduates as they enter postsecondary education or the workplace. States and local partnerships will also develop ways to track the post-high school transitions of their graduates, and report this information in their progress measures.

System Building--Leveraging State and Local Funds

States report that in 1995 every federal dollar invested in STW grant funds leveraged one to two additional dollars from other public and private sources. These sources include new contributions, funds redirected from other programs, or in-kind contributions such as staff or facilities (V.2). Additional data is being collected in 1997.

Employer Participation

A recent national employer survey reported that 19 percent of employers were participating in one of the following work-based learning activities for high school and college students: internships, mentoring, cooperative education, job shadowing, registered apprenticeships, youth apprenticeship (V.6). Initial evidence from the national evaluation of STW and from grantee-reported progress measures suggests that considerable effort has been made to get employers to participate but that recruiting enough employers to provide many secondary school students with in-depth work-based learning opportunities remains very difficult (V.1, V.5).

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[1] Survey results are representative of all 12th-grade students in Florida, Kentucky, Maryland, Massachusetts, Michigan, Ohio, Oregon, and Wisconsin.

IV. Planned Studies

Several major research, evaluation, and data collection activities are in progress:

1. National Evaluation of STW Systems

An independent national evaluation is currently underway to answer three basic questions: (1) Are states making progress in the development of school-to-work systems? (2) Is STW accessible to all students, and do trends in participation of various stakeholders indicate that STW is a viable long-term strategy? and (3) What are the educational and labor market experiences of students participating in school-to-work systems? This evaluation will provide concrete answers to policy-makers' questions about STW. It will also provide states and communities with substantial feedback to improve their management and evaluation capacity. This evaluation, which is based upon a comprehensive data base suitable for detailed analysis, complements the very basic summary performance indicator information reported by states.

To pursue the questions just listed and give states and local communities feedback on STW to improve program management, the evaluation has three major data collection and analysis components:

a. **Local partnership survey**: A survey of all local partnerships in the 27 states with implementation grants as well as those receiving direct federal grants is under way and will be repeated in the fall of 1997 and 1999. This survey collects information on partnership organization, STW program features, links between secondary and postsecondary education, employer participation, strategies for addressing the needs of particular subpopulations, and aggregate measures of student participation in particular program activities.

b. **In-depth case studies**: Detailed studies of program implementation and factors affecting program design and progress were conducted following site visits in spring 1996, and will be repeated in 1997 and 1999. The visits were conducted in eight states that have implementation grants and in four local partnerships in each of those states, as well as in six local partnerships that received direc federal grants.

c. **Student survey**. In the eight states selected for implementation grants, a survey will be conducted of three cohorts of 12th-grade students, selected in spring of 1996, 1998, and 2000. Representative samples of these students will be surveyed about their high school experiences (including participation in STW activities); follow-up interviews 18 months later will ask the students about their postsecondary or labor market experiences. High school transcripts will be collected to provide further information about their course-taking patterns and academic performance. The 1996 student survey has been completed (80 percent response rate), and data analysis and collection of student transcripts currently underway.

The first report from this national evaluation of STW was released in spring 1997 (V.1). Findings are summarized on pages 15 through 18 of this chapter.

2. Performance Measures

The School-to-Work Act directs the Secretaries of Education and Labor to develop a system of performance reporting. In collaboration with the national School-to-Work Office, states have helped define measures of student, school, and employer participation in career awareness, career exposure, career exploration, and work-based learning activities, as well as "leveraged" funding for STW. Over the next few years these measures are expected to evolve into a stable, ongoing system of performance indicators as well as a foundation of core measures around which state and local management information systems can be built.

3. National Longitudinal Survey of Youth (NLSY)

A National Longitudinal Survey of 12 to 17-year olds will be undertaken in 1997 to track broad national trends in the transition from school to work, and to create a benchmark against which to gauge state performance data. The survey is administered by the Bureau of Labor Statistics to collect basic demographic, educational, and labor market data on youth (including out-of-school youth). The Departments of Education and Labor have supplemented the core survey by adding several items relevant to the STW experience: participation in career majors, job shadowing, career counseling, work-site activities, and participation in various STW programs. Baseline results will be available in 1998. A companion survey of school administrators measures school policies and practices with regard to school and work-based learning. Initial results are due in 1997.

4. National Employer Survey

This survey of 3,200 employers is designed and conducted by the National Center on the Educational Quality of the Workforce and the Bureau of Census. Initially administered in 1994, and again in 1996, this survey will be expanded and repeated in 1997. It will gather information on the extent of employer involvement with schools, and school-to-work in particular, and measure the costs and benefits to employers of such involvement. Findings from the 1996 survey indicate that larger establishments (more than 1,000 employees) were significantly more likely to offer work-based learning opportunities than were small and midsize companies.

School-to-Work Opportunities Core Performance Indicators Plan			
Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
Students			
1. All youth, including disadvantaged, limited English proficiency, academically gifted, out of school, and/or disabled, have the opportunity to engage actively in School-to-Work systems that meet high academic standards	**Student participation in STW systems:** **1.1 All youth:** By fall 1997, 750,000 high school youth will be engaged actively in STW systems; by 2000, 2 million youth will be engaged actively in STW systems *As of December 1995, 500,000 high school youth participated in STW systems that offered curriculum that integrated academic and vocational education and providing work-based learning experiences connected to classroom activities.* *By fall 1997, baseline data will be available on high school youth enrolled in at lease one postsecondary course in an accredited community college or other postsecondary institutions.*	1.1 Progress Measures (program performance reports), 1997; National Evaluation of School to Work , 1997; National Longitudinal Survey (NLS) Youth Module, 1997	• Align core technical assistance, including the bank of technical assistance providers, with identified state needs. • Develop linkages and technical assistance with key stakeholder groups, including the postsecondary, disabled, and out-of-school youth communities. • Sponsor development and identification of exemplary models for serving out-of-school youth and other targeted populations. • Evaluate states' progress towards building comprehensive systems through site-visits, meetings, and the continuation approval process.
	1.2 Special populations: By fall 1997, a percentage of high school youth actively engaged in STW will be from special populations, including disabled, low income, and academically talented youth.	1.2 Progress Measures, 1997; National STW Evlauation 1997	
	1.3 Out-of-school youth: By fall 1997, a percentage of out-of-school youth will be served by alternative education providers that incorporate key components of a STW system.	1.3 National STW Evluation, 1997	

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School-to-Work Opportunities Core Performance Indicators Plan

Goal: **To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.**

Objectives	Indicators	Source and Next Update	Strategies
2. **All youth earn a high school diploma or equivalency tied to challenging academic standards, have the opportunity to receive a skills certificate, and are prepared for postsecondary education and careers.**	**Student achievement in STW systems:** 2.1 **In-school youth**: By fall 2000, in local STW systems, the percentage of students from the prior 4 high school graduating classes completing high school will exceed the percentage of students who completed high school in spring 1997. 2.2 **Math and science:** By fall 1998, a baseline will be established for math and science course-taking and achievement, proxy measures for academic rigor. Benchmarks will be established for 2000. 2.3 **Postsecondary enrollment:** By fall 1998, a percentage of youth who participated in STW activities will be enrolled in a postsecondary education course of study consistent with their expressed career interest/major. 2.4 **Postsecondary completion**: By fall 2000, in local STW systems, the percentage of students from the 4 prior high school graduating classes completing a postsecondary course of study (certificate, AA, BA, etc.) will exceed the percentage of students who completed courses of study in spring 1997. 2.5 **Skills certificate**: By fall 2000, in local STW systems, 50% of 12th graders who earned skills certificates in high school. 2.6 **Out-of-school youth**: By fall 2000, in local STW systems, the percentage of out-of-school youth acquiring high school equivalency diplomas will be higher than the percentage who achieved diplomas in spring 1997.	2.1 Progress Measures, 1996; National STW Evaluation, 1997; NLS Youth Module, 2000 2.2 National STW Evaluation, 1997 2.3 National STW Evaluation, 1998 2.4 NLS Youth Module, 2000 2.5 National STW Evaluation, 1999 2.6 National STW Evaluation, 1997; NLS Youth Module, 1997	• Showcase models for whole school reform. • Sponsor training to develop the capacity of grantees to institutionalize school-based, work-based, and connecting activities into state and local structures. • Facilitate peer-to-peer exchange of information among states and local partnerships on integrated curriculum development, restructuring schools, and teaching all students. • Sponsor and disseminate research that identifies models and best practices for applied learning. • Use available state-level data to track progress of STW systems in meeting student achievement indicators and provide targeted technical assistance in response to identified weaknesses.

School-to-Work Opportunities Core Performance Indicators Plan

Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.

Objectives	Indicators	Source and Next Update	Strategies
System building			
3. **Build comprehensive school-to-work systems in every state**	3.1 **Leveraged state and local funds** – By fall 1997, states in their first year of implementation will have a two to one ratio of federal dollars to ***new*** state and private dollars (i.e. for every two federal dollars invested, one dollar will be leveraged from new state appropriations or private contributions that have been made for the purpose of supporting a STW initiative). – By fall 1997, states in their second year of implementation will have a one to one ratio of federal dollars to ***new*** state and private dollars.	3.1 Progress Measures, 1997	• Institute STW system-building activities in all states through the state implementation plan approval and 5-year grant ward process. • Conduct public outreach to a broad array of stakeholder groups to build public support for STW system. • Develop capacity in states to conduct in-depth strategic planning to leverage new resources. • Identify and disseminate tools and effective practices of STW grantees for broad dissemination among all grantees. • Support peer-to-peer delivery of technical assistance and training among grantees.
	3.2 **Skill standard adoption**. By fall 2000, 25% of STW implementation states will adopt at least one set of industry recognized skill standards. *As of October 1996, no state has adopted at least one set of recognized skill standards.*	3.2 Mathematica Rapid Response Survey, 1999	• Provide technical assistance to states in identifying academic and occupational standards in broad career major that lead to portable skill certificates.
	3.3 **The percentage of STW grantees who report that the STW learning and information center services are timely and useful**. By fall 1997, over 75% of STW grantees will report that the Learning and Information Center services are: 1) timely, and 2) "Useful" or "Very Useful".	3.3 DTI, Inc. Survey of Grantees, 1997	• Work with DTI, contractors for the Learning and Information Center, to develop processes for identifying customer needs and swiftly responding to requests for information.

School-to-Work Opportunities Core Performance Indicators Plan

Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.

Objectives	Indicators	Source and Next Update	Strategies
	3.4 **Total recruitment costs of employers who have hired graduates of STW systems.** By fall 1998, recruitment costs for entry level employees from STW systems will be reduced by 15% as a result of less frequent turnover and more strategic recruiting.	3.4 National Employer Survey II, 1998	• Build strong school-employer relationship that lead to employers committed to hiring STW graduates who have high academic and workplace skills. • Use research and evaluation findings to support public outreach efforts to convince employers that hiring STW graduates in cost-effective
Institutions			
4 **High schools, postsecondary institutions, and adult high schools are engaged in building School-to-Work systems.**	**Number of institutions involved in STW activities:** 4.1 **High schools:** By fall 1997, with full reporting of STW implementation states, 10% of high schools will have the key STW system components; by fall 2000, 30% of high schools will have the key STW system components. *As of December 1995, 36% of all high schools in local partnerships from 11 states had the key STW components.* 4.2 **Community and technical colleges:** By fall 1997, 10% of community colleges and technical colleges will have signed articulation agreements that grant academic credit for work-based learning. 4.3 **Four-year colleges**: By fall 1997, the percentage of four-year colleges that have admissions policies in place that acknowledge academic credit for work-based learning will increase.	4.1 Progress Measures , 1997; National STW Evaluation, 1997; NLS Youth Module, 1997 4.2 Mathematica Policy Research Rapid Response Survey, 1997 4.3 Office of Educational Research and Improvement (OERI), 1997	• Sponsor and disseminate policy options for awarding academic credit for work-based learning. • Convene meetings and provide resources to local partnerships working with postsecondary institutions on admissions policies, articulation agreements, and other relevant activities designed to strengthen postsecondary linkages to STW.

<table>
<tr><th colspan="4">School-to-Work Opportunities Core Performance Indicators Plan</th></tr>
<tr><th colspan="4">Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.</th></tr>
<tr><th>Objectives</th><th>Indicators</th><th>Source and Next Update</th><th>Strategies</th></tr>
<tr><td></td><td>4.4 Adult education programs: By fall 2000, 20% of adult high schools will provide key STW system components to their students (e.g., work-based learning that is connected to the classroom).</td><td>4.4 Funds are needed for data collection.</td><td></td></tr>
<tr><td colspan="4">Employers</td></tr>
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School-to-Work Opportunities Core Performance Indicators Plan

Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.

Objectives	Indicators	Source and Next Update	Strategies
5. **Build strong employer participation.**	**Participation of employers in STW systems:**		• Develop and implement an action plan for recruitment of employers. • Develop prototype products and employ variety of public outreach strategies, including working with key employer organizations, designed to raise a critical awareness of STW among employers and organized labor. • Support the development, testing, dissemination, implementation, and showcasing of various approaches to employer participation. • Work collaboratively with the National Employer Leadership Council to increase the number of US employers in offering work-based learning opportunities as well as the number of opportunities per firm.
	5.1 **Active engagement.** By fall 1997, 400,000 employers nationally will engage in at least one recognized STW activity; by fall 2000, 600,000 employers will engage in at least one recognized STW activity. *As of December 1995, 150,000 employers nationally engaged in at least one STW activity.*	5.1 Progress Measures, 1997; National STW Evaluation, 1997	
	5.2 **Provide work-based learning slots.** By fall 1997, 50% of all employers participating in STW systems will offer work-based learning slots; by fall 2000, 70% of all employers participating in STW systems will offer work-based learning slots. *As of December 1995, 39% of all employers participating in STW systems offered work-based learning slots.*	5.2 Progress Measures, 1997; National STW Evaluation, 1997; National Employer Survey II, 1998	
	5.3 **Provide work-based learning slots.** By 2000, a significant percent of all U.S. employers will offer work-based learning slots to secondary and postsecondary students.	5.3 Progress Measures, 1997; National STW Evaluation, 1997	
	5.4 **Teacher internships.** The percentage of all employers in STW systems offering teacher internships will increase.	5.4 Progress Measures, 1997; National STW Evaluation, 1997	
Professional development and training			

School-to-Work Opportunities Core Performance Indicators Plan

Goal: To Build School-to-Work Systems that Result in Increased Student Achievement and Career Opportunities.

Objectives	Indicators	Source and Next Update	Strategies
6. Prepare teachers to fully participate in STW systems.	**Teacher Preparation:** **6.1 Teacher institutions' participation.** An increasing percentage of teacher preparation institutions will prepare teachers to incorporate significant STW elements into their pedagogy and curriculum.	6.1 FY 1998 resources are needed for data collection and analysis.	• Support the identification and showcasing of institutions with teacher preparation programs that model the incorporation of STW elements. • Develop and disseminate to colleges of education integrated curriculum strategies.
	6.2 Teachers engaged. An increasing percentage of middle and secondary school teachers will be engaged in professional development emphasizing STW elements.	6.2 NLS School Staffing Survey, 1997	
Integration of STW with other ED reforms and workforce development systems			
7. Align School-to-Work Opportunities with Goals 2000: Educate America Act, Improving America's Schools Act (IASA), Perkins Vocational Education Act, Adult Education Act, Individuals with Disabilities Act (IDEA), Job Training and Partnership Act (JTPA) and other federal programs.	**Number of states participating in the Departments's alignment efforts:** **7.1 Alignment.** By fall 1997, at least 15 STW states will have plans for alignment of STW and Perkins performance measures and standards in states.	7.1 MPR, 1997	• STW and OVAE work collaboratively with MPR to identify barriers to alignment and build consensus among local school systems for changes in measurement systems.
	7.2 Consolidated plans. As of October 1996, Perkins and STW were part of consolidation plans in 8 states. By fall 1997, Perkins and STW will be part of consolidated plans in at least 12 states.	7.2 Office of Vocational and Adult Education (OVAE) review of plans, 1997	• Align grant procedures of two Departments so they are seamless.
	7.3 Integrated grant management strategies. By fall 1998, STW grantees will report a high level of satisfaction with grant management assistance offered by the NSTWO, ED, and Labor	7.3 National School to Work Office (NSTWO), 1997	• Identify opportunity for streamlining grant awards. Align the two Departments' Office of Inspector General (OIG) audit and audit resolution programs for STW grantees.

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Analysis and Highlights[**]
Partners In Progress: Early Steps in Creating School-To-Work Systems

Mathematica Policy Research, Inc.
April 1997

School-to-Work (STW)

The School-to-Work Opportunities Act (STWOA) provides states with 5-year grants as "seed money" to help implement STW systems. While states and localities have broad discretion to design their own systems, each must have the following core components:

Work-based learning, providing students with workplace mentoring and a planned program of work experience linked to schooling;

School-based learning, including a coherent multi-year sequence of integrated academic and vocational instruction--involving at least 2 years of secondary education and 1 or 2 years of postsecondary education--tied to occupational skill standards and challenging academic standards; and

Connecting activities, to ensure coordination of work-and school-based learning components by involving employers, improving secondary-postsecondary linkages, and providing technical assistance.

Evaluation Procedures

This report is the first product of a 5-year evaluation of efforts undertaken by states and communities since enactment of the School-to-Work Opportunities Act in 1994. The report presents a description of very early steps in implementing this initiative, as a baseline for later judgments of its success in changing how American youth are prepared for the future.

The report is based upon two main sources of information: 1) extensive site visits in 8 states (Florida, Ohio, Massachusetts, Michigan, Wisconsin, Oregon, Kentucky and Maryland) and 39 communities conducted in Spring 1996; and 2) a survey of a representative sample of 1996 high school seniors in the same eight states. The site visits report on early state and local efforts to create school-to-work systems, while the student survey is truly a baseline indicator of students' educational and work-related learning experiences against which future progress will be gauged.

Main Findings

Mathematica's main findings are summarized below:

1. **School-to-Work has generated considerable interest and effort** among educators and employers around efforts to link school and workplace learning to better prepare students for successful careers.

[**] Prepared by Planning and Evaluation Service, Office of the Under Secretary, U.S. Department of Education, 4/97

2. **States have begun building a system by creating employer incentives, promoting career development models, facilitating college enrollment, defining target career clusters, and providing technical assistance to local partnerships.** Their approaches so far reflect different priorities. Some states have focused on school-based aspects of STW and others have concentrated on work-place activities. Only one of the eight states visited has so far done all these things.

3. **Two of the eight states visited (Kentucky and Oregon) have made STW reforms a central part of the state's more general school reform agenda affecting all students**. In other states, STW and education reform are proceeding more independently of one another. In several states included in the study, efforts to raise academic performance through school accountability and proficiency testing have absorbed the attention of local schools, making it difficult for some schools to pursue STW implementation goals at the same time.

4. **As envisioned in the legislation, early state efforts often build on programs originating in vocational education**, such as co-op ed, tech-prep, or youth apprenticeship. Building upon established programs has some initial advantages, but ultimately school-to-work must broaden its appeal to larger segments of the student population.

5. **Career development activities designed to permit students to become aware of and explore careers is one of the main ways in which large numbers of students are exposed to school-to-work**. Participation in career development activities is high--through counseling, career interest assessments, career awareness and work-readiness classes (sometimes conducted as part of academic classes), worksite visits, job shadowing, and employer visits to schools. However, for most students such experiences are infrequent and disconnected. Ensuring a coherent sequence of career development activities is a challenge to be addressed.

6. **Curricular changes envisioned in STW, such as career majors and the integration of academic and vocational instruction, are at this early point, a relatively low priority compared to other aspects of STW--notably promoting career development and workplace activities**. Only two of the eight states visited have established goals for participation in career-focused programs of study. Although many students report having expressed a career interest sometime during high school, relatively few students have their courses of study affected by this choice, take an English, math or science course designed for students with similar interests, or report a class assignment in their career area.

7. **Efforts to integrate academic and vocational instruction are widely pursued but sometimes with more emphasis on form than content of instruction**. Approaches that emphasize use of applied methods of instruction in academic classes or upgrading the academic content of vocational courses so far tend to overshadow the aim of creating challenging learning experiences rich in academic content.

8. **Considerable effort has been made to recruit employers** to provide work-based learning activities. Four of the eight states visited set specific goals for the percent of students who will have some sort of work-based learning experience, and developing work-based learning activities is the top priority for most local partnerships. In an effort to reach a large number of students, at this point most attention is given to expanding brief job-shadowing. There are difficult obstacles to significantly expanding the scale of structured, extended work-place activities linked to the school curriculum as envisioned in the STWOA.

9. **School-sponsored workplace experiences are more educationally beneficial than work that students obtain on their own.** Most 1996 seniors (88 percent) report some sort of paid or unpaid work experience while in high school. Although relatively few students find their jobs through schools, the quality of those jobs is likely to be better than the jobs students obtain on their own; jobs obtained through school are likely to be in more diverse industries and occupations outside of the retail and restaurant sector, include training, and be linked to schooling through a grade or school assignment.

10. **At this early stage in the development of STW systems, the percentage of students who engage in a range of key components envisioned in the Act--career development, career majors, and workplace activity linked to schooling-- amounts to 2 percent of 12th graders in the states studied.** Participation in school-to-work can be described in other ways, as well. Based on the survey of 1996 high school seniors, there is wide participation in some STW components (63 percent in comprehensive career development activities), and modest levels of involvement in others (12 percent involved in something like a career major concept, and 16 percent with a workplace activity linked to a school grade or assignment). These patterns of participation reflect both early implementation priorities and initiatives begun before STWOA. Follow-up studies will also measure student participation in postsecondary education.

11. **A widespread set of local partnerships has been created.** Schools and employers have so far played active roles in STW matters at state and local levels, but with the exception of places building on tech-prep consortium, postsecondary institutions are less active and their role is often not clearly defined. The long-term role of local partnerships as important institutions is likely to depend on developing functions that schools and employers value enough to support as federal funding expires.

Future Issues to Examine

These initial findings indicate that there is considerable activity underway in the name and spirit of STW, but the long-term significance of STW is still uncertain. It remains to be seen whether current efforts can evolve into a coherent, sustainable system capable of providing large numbers of students with high quality learning within a career framework. As this evaluation proceeds, key questions to address include:

- Can STW fit within a coherent set of state and local policies directed at school improvement and reform? Can STW tied to workforce development and training related policies also be viable as an educational reform?
- Can workplace learning be made intellectually challenging for large numbers of students? Can existing barriers to creation of intensive work-based learning be overcome?
- By offering students an opportunity to master challenging material, can school curriculum built around career themes demonstrate broad appeal to students, parents and teachers?

V. Sources of Information

1. Partners in Progress: Early Steps in Creating School-to-Work Systems (Princeton, NJ: Mathematica Policy Research, 1997).

2. Implementation of the School-to-Work Opportunities Act of 1994: Report to Congress, September 1996.

3. National Employer Survey, National Center on Educational Quality of the Workforce, 1996.

4. National Longitudinal Survey of Youth (Washington, DC: Bureau of Labor Statistics, 1997).

5. School-to-Work Progress Measures Report (Washington, DC: National School-to-Work Office, 1997).

6. Shapiro, Daniel, and Zemsky, Robert Education and the Workplace: From School-to-Work and Schooling-at-Work (Washington, DC: National Center on Educational Quality of the Workforce, July 1996).

VI. Contacts for Further Information

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Adult Education--Grants to States
(CFDA No. 84.003)

I. Legislation

Adult Education Act, P.L.100-297, as amended by National Literacy Act of 1991, P.L. 102-73 (20 U.S.C. 1201 et seq.)(expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 26,280,000	1991	$201,032,000
1970	40,000,000	1992	235,750,000
1975	67,500,000	1993	254,624,000
1980	122,600,000	1994	254,624,000
1985	101,963,000	1995	252,345,000
1990	157,811,000	1996	247,440,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of Adult Education State Grants is to support programs that assist educationally disadvantaged adults in developing basic skills, including literacy, achieving certification of high school equivalency, and learning English. Adult education serves as a hub for a variety of different programs, including job training and vocational education, family literacy, welfare reform, correctional education, and immigration services. Adult education programs are a gateway to further education and training for both English and non-English speakers.

B. Strategies to Achieve the Goals

The Department awards formula grants to state education agencies, which, in turn, make competitive grants to local adult education providers. Adult education services are delivered by local education agencies (59 percent), community-based organizations (14 percent), postsecondary institutions (15 percent), corrections agencies (4 percent), and other institutions and agencies serving adults (8 percent). States must give preference to local service providers that have demonstrated or can demonstrate a capability to recruit and serve educationally disadvantaged adults (defined generally as those who demonstrate basic skills equivalent to or below the fifth-grade level). In addition, states are required to provide two-year "Gateway Grants" to public housing authorities for literacy programs.

No more than 20 percent of a state's allotment may be used for high school equivalency programs. In addition, a state must use at least 10 percent of its funds to educate incarcerated and other institutionalized adults, and spend at least 15 percent for special demonstration and teacher training projects. Of the funds provided to local providers, generally at least 95 percent must be used for instructional activities.

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According to state reports for the 1994-95 program year, more than 3.8 million adults were enrolled in adult education classes: 1.5 million in basic education instruction; 1.4 million in English as a Second Language instruction; and 900,000 in high school-level instruction.

C. Program Performance—Indicators of Impact and Effectiveness

Objective 1: Improve literacy in the United States.

The 1992 National Adult Literacy Survey found that between 40 and 44 million adults performed in the lowest of five proficiency levels.

Objective 2: Provide adult learners with opportunities to acquire basic foundation skills (including English language acquisition), complete secondary education, and prepare for postsecondary education and work.

During the 1994-95 program year, nearly 350,000 adults obtained their high school diplomas or a GED; another 400,000 achieved basic English proficiency; and almost 300,000 low-level adult basic education students achieved basic skills proficiency. Among other outcomes, almost 270,000 adult learners gained employment or advanced on the job, and some 150,000 adults entered advanced education or training programs.

Objective 3: Provide adult learners at the lowest levels of literacy access to educational opportunities to improve their basic skills.

The Adult Education program continues to target services to those adults most in need of services. Of the more than 3.8 million adults served, 75 percent were in Level I (below grade 8 and English as a Second Language programs). More than 68 percent of the FY 1993 federal allotment was targeted at this level. Minorities make up two-thirds of all adult enrollments.

The Adult Education State Grant program assures access and helps special adult populations acquire the literacy and English language skills necessary for work, citizenship, and further education. In 1995, nearly 178,000 disabled adults were enrolled in adult education classes, and 1.2 million immigrants also participated. The program served over 1.2 million unemployed adults, 469,000 welfare recipients, 297,000 incarcerated adults, and 41,000 homeless adults.

Objective 4: Support State and local performance management systems for accountability and program improvement.

The Adult Education program has faced increasing demands to demonstrate its effectiveness and the value of the instruction it offers. Over the past several years, amendments to the Adult Education Act have strengthened the accountability requirements. The National Literacy Act of 1991 required states to develop indicators of program quality and to use them to judge the effectiveness of local programs and services. All states have adopted indicators of program quality which they are using to evaluate program effectiveness, make program funding decisions, identify technical assistance needs, and improve programs (V.3). States are able to assess areas of strength and weakness in their delivery system and target weak areas for improvement. These indicators represent a critical step in efforts to promote quality in programs, and serve as a strong foundation for states' efforts to be accountable. The Department is also working with state directors of Adult Education to support the development of a national performance measurement system (See "Planned Studies" below).

Objective 5: Implement statewide professional development systems and professional standards for instructors.

A national evaluation of staff development and special project activity at the state level found value in continuing to set aside funds earmarked for professional development and program improvement (V.4). Recommendations from the study include the following:

- Given the nature of the Adult Education workforce, making special efforts to encourage part-time staff to participate in sustained training.

- Providing job-related incentives for training as one way to professionalize the field.
- Encouraging more collaboration between states in project development and execution and better coordination of federal and state research agendas to reduce duplication of effort and improve dissemination of effective practices.

Several projects are in progress to improve teacher training and Adult Education programs at the federal, states, and local levels. The Department supports a national staff development project--the Adult Literacy Technology Network--that is enabling teachers and training professionals from across the country to develop a research agenda for improving classroom instruction. In addition, a number of states are working together on regional staff development plans to reduce duplication and broaden the dissemination of information. States continue to support literacy resource centers, which play an important role in the states' training, research, and information networks.

Objective 6: Improve access to quality programs for adult learners by integrating services and leveraging resources.

An initiative supported by the Division of Adult Education and Literacy, the Even Start Family Literacy Program Office, and the National Center for Family Literacy--"Building Alliances for Family Literacy"--has created statewide capacity to deliver strong family literacy services.

Other cooperative activities include support for the "Crossroads Cafe Project," a distance learning effort of state education agencies, PBS television stations, and local adult education and literacy service providers. This project provides high-quality learning strategies for delivering adult literacy instruction to non-English speakers. In addition, the Department participated in an interagency initiative to identify and select common data elements to be used in multiple federal programs, including adult education, job training, welfare, and vocational education. This was perhaps the first significant interagency effort at the federal level to develop reporting systems for federal programs.

Objective 7: Improve the capacity of the Department of Education's Division of Adult Education and Literacy to manage for results.

IV. Planned Studies

National Performance Measurement System. In collaboration with state Directors of Adult Education the Department will support the development of a national performance measurement system. The project will have three phases: Phase I will establish the outcomes, measures, and methodology; Phase II will pilot-test a management information system that includes client-level data in selected state and local programs; and Phase III will result in full-scale implementation at the state and local levels.

V. Sources of Information

1. Adult Education Act.
2. Annual Performance, Financial, and Evaluation Reports submitted by states
3. Evaluation Systems in the Adult Education Program: The Role of Quality Indicators (Washington DC: Pelavin Research Institute, March 1996).
4. National Evaluation of the Section 353 Set-Aside for Teacher Training and Innovation in Adult Education (Portsmouth, NH: RMC Research Corporation, June, 1996).

VI. Contacts for Further Information

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Adult Education--National Programs
Evaluation and Technical Assistance
(CFDA No. 84.191)

I. Legislation

Adult Education Act, Part D, Section 383, P.L. 85-620, as amended (20 U.S.C. 1212a-c) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1988	$1,915,000
1989	1,976,000
1990	1,973,000
1991	2,927,587
1992	4,000,000
1993	3,928,000
1994	3,928,000
1995	3,900,000
1996	2,560,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of Adult Education National Programs is to help states evaluate the status and progress of adult education in achieving the purposes of the Adult Education Act. This program supports effective practice and efficient use of federal funds for adult education. The authorized activities are research, evaluation, technical assistance, development, demonstrations, and training. National Programs historically have represented 1.2 to 1.6 percent of Adult Education Act funding.

The goals of the Adult Education National Program are to:

- Build state and local capacity to manage, deliver, and evaluate adult education services;
- Support state-level professional development; and
- Support program improvement.

The principal users of National Programs material are members of Congress and their staffs, the Office of Management and Budget, the Secretary of Education and other senior officers, the Assistant Secretary for Vocational and Adult Education, federal program managers, the state directors of Adult Education, national literacy organizations, local directors and instructors of adult education and literacy programs, and adult education researchers.

B. Strategies to Achieve the Goals

Services Supported

At the national level, projects and studies provide the information needed for national policymaking and for developing legislative proposals for adult basic education. At the state level, projects help program administrators improve the management and quality of their program through the development and use of an automated program accountability and reporting system, and the development and use of indicators of program quality. At the local level, projects and studies help program administrators expand access to programs and improve program quality by identifying effective recruitment, retention, instructional, and staff development practices.

To solicit ideas for the Department to consider in developing investments under the National Programs account, the Assistant Secretary for Vocational and Adult Education conducted a series of meetings and conference calls in 1996 with representatives from the adult basic education and literacy communities. Participants in these exchanges included the Council of State Directors of Adult Education, Commission on Adult Basic Education, Literacy Coalition, National Adult Education Staff Development Consortium, Laubach Literacy Action, Literacy Volunteers of America, Teachers of English to Speakers of Other Languages, National Association of Urban Literacy Coalitions, local adult education service providers, and State Literacy Resource Centers. The discussions focused on the purpose and goals of the National Programs account.

A summary of key FY 1995 and 1996 activities follows.

Evaluations

"What Works" Study for Adult Basic Education (ABE) Students. The Department has awarded a contract to conduct a major evaluation of promising adult education basic skills programs for low-literate learners. In the first year of the study, the contractor thoroughly reviewed the literature and consulted with the study's advisory panel and reading experts to gain information to be used to identify models of effective reading programs. The contractor then made site visits to observe how these models are implemented in the field. The next steps will be widespread consultation and interviews with adult education practitioners and administrators and with experts in evaluation methodology, and case studies of sites that have the characteristics identified in the models (both successful and unsuccessful sites). From these activities, the contractor will develop a final set of program and evaluation models for pilot testing in specific sites.

In the pilot-test phase, the contractor will test the program and evaluation models in about five sites that meet key elements in the effective programs model and are willing to participate in a rigorous evaluation. To validate the effectiveness of the programs in those sites, the Department will extend the evaluations of the pilot sites a second year. The national study phase will begin in year three, after the initial effects and feasibility of the models have been tested in the pilot sites. This phase will involve either a stratified sample or a purposively selected sample of projects that represent a broad range of types of local programs. The end result should be both validation of evaluation methodology for assessing "what works," including under what circumstances the models work and don't work, and identification, description, and validation of effective practices that can be widely used by ABE educators.

"What Works" Study for Adult ESL Students. Demand for ESL programs has grown tremendously in recent years. ESL enrollments have more than doubled since 1980, when they constituted less than 20 percent of all enrollments. Not every ESL student is disadvantaged academically; 53 percent report having at least a high school diploma or the equivalent in their native language. The purpose of this study is to assess the effectiveness of instructional techniques and program methods developed to serve low-literate ESL learners, to evaluate assessment instruments, and to identify the key elements of effective programs. The study has two phases. The first phase consists of a survey of adult ESL programs in six states where 75 percent of ESL enrollment occurs, and site visits to selected programs. The second phase will relate instructional practices to participant outcomes in order to identify effective practices.

Job Opportunities and Basic Skills (JOBS) Evaluation, Adult Education Study.
This project supplements the Department of Health and Human Services' JOBS Evaluation. Adult Education National Programs funds supported literacy and math achievement testing on a random sample of 3,000 JOBS treatment and control group participants at three sites, an augmented sample size, and an implementation and process study of local adult education providers for the treatment group. The first draft interim report from JOBS which described the program's implementation and participant characteristics, was delivered in May 1994. The major impact report, based on two years of follow-up, is scheduled for 1997.

A separate report, *Educating Welfare Recipients for Employment and Empowerment*, profiles adult education programs in four communities that served welfare clients in innovative or promising ways. Common and exceptional features of these programs offer lessons to the many other adult education programs that attempt to teach welfare recipients and other highly disadvantaged adults the skills they need to succeed as workers, as parents, and as citizens.

State Correctional Education Program Evaluation. The State Correctional Education program is funded through a 10 percent set-aside of Adult Education Basic Grant funds and a 1 percent set-aside in the Carl D. Perkins Vocational and Applied Technology Education Act. In the past decade, the inmate population has risen sharply, doubling between 1982 and 1991. Illiteracy among the prison population is particularly high. Four out of five inmates do not have a high school diploma, and more than three of four lack basic reading and arithmetic skills. States are increasingly mandating participation in literacy programs by inmates in state prisons. In 1992, 17 states and the District of Columbia had mandatory literacy programs.

This study will build upon corrections surveys administered by the Department in 1993 to collect information from states and individual facilities on the provision of adult and vocational education services to inmates. Information will also be collected on program participants, assessment of literacy gains, and the academic and vocational education and support services provided. The study will also assess the effectiveness and impact of these services, including gains in literacy and job skills and socioeconomic outcomes where possible. The final report is expected in late 1998.

National Evaluation of the Set-aside for Teacher Training and Innovation. Section 353 of the Adult Education Act requires states to set aside 15 percent of their basic grant to support special projects and teacher training in adult education. The main goals of the evaluation were to (1) describe and assess the systems that states use in administering Section 353 funds in support of teacher training and the development and dissemination of special experimental demonstration projects and activities, and (2) assess the quality and usefulness of these activities in enhancing adult basic education services. The results of the evaluation are being used to offer recommendations on ways to ensure that federal support for training and special projects in adult education offers maximum benefits to the field and results in more effective ways of educating adults. Results are reported in both a technical and a summary report.

State Literacy Resource Center (SLRC)/Gateway Grant Evaluation. The purpose of these studies was to review and analyze the SLRC program and the Gateway Grants program as they were implemented in the states. The studies yielded (1) a profile of each program with descriptions of their administrative structures and placements, operations, services, and participants, including analysis of how the programs vary along key dimensions and what factors may account for these variations; (2) information on problems faced by state in implementing and operating their SLRC and Gateway Grants programs; (3) an assessment of states' progress toward meeting the legislative goals and objectives of the program; (4) a summary of states' efforts to evaluate their programs' effectiveness; and (5) recommendations for states wishing to continue and improve their programs. A final report for each program was released in March 1997.

Review of State Adult Education Allocations. The purpose of this study was to evaluate the distribution of resources for adult education against general indicators of need for adult education programs and services to inform federal policy. It used information collected from state directors of adult education to describe the patterns of funding for adult education programs as well as policies and procedures used by states in distributing funds. The study showed how federal funds fit into state adult education systems. *The Allocation of Funds for Adult Education* was released in May 1995.

Evaluation Data Syntheses for Adult Education Reauthorization. This study synthesized all evaluation and research findings relevant to reauthorization of the Adult Education Act, including a description of the adult education target population, and information on the delivery of adult education services, the effectiveness of adult education programs and services, and alternatives to traditional adult education instructions. *Review of Adult Education Programs and their Effectiveness* was released in June 1995.

Technical Assistance

Mexico Border Project. Under the auspices of this project, education agencies in the border states of Arizona, California, Nevada, New Mexico, and Texas are cooperating with counterpart agencies in Mexico to provide literacy services. A bilateral plan to expand collaborative efforts at the national, state, and local program levels is being implemented. In addition, the U.S. border states are pilot-testing the educational curriculum developed with Mexico. Both the U.S. and Mexican adult education programs are collaborating in staff development and are sharing information on effective adult education practices. A final report is expected in 1997.

Crossroad Cafe: Evaluation of the Fall 1995 Pilot Implementation. This study examined the effectiveness of the 26-part instructional video series Crossroads Cafe, which is designed to teach English to nonnative English speakers. The instruction can be viewed over television or on video tapes. Ancillary print material corresponding to each of the episodes reinforces literacy concepts from the series. Three methods of delivering the course were tested: use of Crossroads Cafe materials in regularly scheduled English as a Second Language classes, use of videos in the home, and use of videos in the home supplemented by weekly group discussions. A copy of the report is available from the Division of Adult Education and Literacy's Clearinghouse.

Technical Assistance Project for State Accountability and Assessment. This three-year project was designed to improve the capacity of state education agencies (SEAs) to meet the administrative and evaluation requirements of the Adult Education Act. Project activity focused on four broad areas: (1) on-site technical assistance, (2) annual training institutes, (3) assistance in assessing and using administrative technology, and (4) dissemination of information and development of materials. In addition, the project developed and disseminated an administrative handbook for use by SEA staff and created and managed a Program Assessment and Information Center that maintains information on standardized tests and other assessment measures. The publication, *Evaluation Systems in the Adult Education Program: The Role of Quality Indicators*, will be available from Division of Adult Education and Literacy's Clearinghouse in 1997.

Professional Development Assistance Project. This three-year project, begun in September 1994, supports a variety of technical assistance activities to improve adult education professional development. Major activities in the first phase of the project were (1) reviewing existing networking processes; (2) developing and implementing a National Professional Development Network among staff development specialists in state departments of education, universities, local programs, and other organizations; and (3) developing new training modules for workplace literacy programs and for staff training practices. During the second phase, begun in September 1995, the project provided technical assistance to state and local staff trainers in using both previously developed and current training modules. The contractor also conducted a national training conference for staff trainers and state staff on advance practices in adult education training. A final report is expected in fall 1997.

National ESL Clearinghouse on Literacy Education. The National Clearinghouse on Literacy Education (NCLE), an adjunct Educational Resource Information Center (ERIC) Clearinghouse, provides information, referral services, and publications about literacy instruction for limited-English proficient adults and out-of-school youth. NCLE also has a database of English as a Second Language (ESL) and native language literacy programs, and collects, analyzes, and abstracts educational documents for limited English proficient adults. Publications developed by the clearinghouse include the NCLE Notes, ERIC Digests, annotated bibliographies, and the Language Education series of monographs.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators of performance have been developed for the Adult Education National Program, but efforts have focused in recent years on expanding the scope and effectiveness of efforts to disseminate the study findings supported by National Programs. The DAEL has distributed copies of final reports through its clearinghouse; placed synopses of the studies in its newsletters, the *A.L.L. Point Bulletin;* cited important studies in *Thursday Notes*, its regular communication with state directors of adult education; and arranged for conference presentations of the findings. When a new system, such as the automated data collection and reporting system, was developed, presentations and implementation sessions were conducted at the National State Directors Conferences.

IV. Planned Studies

The Department is working with the National Institute for Literacy (NIFL) and the National Center for the Study of Adult Learning and Literacy (NCSALL) to conduct a National Research and Development Agenda Summit in April 1998. In preparation for this national meeting, the Department, NIFL, and NCSALL will establish a steering group representing business, community-based organizations, and the literacy field to serve in an advisory and policy setting role. In addition, adult literacy researchers will draft a research paper, which will be reviewed by literacy experts and widely circulated to the field for comment via Internet and direct mailings, to give both state directors of adult education and adult learners an opportunity for input. The paper will then be revised to serve as a guiding document for studies supported under National Programs in future years.

V. Sources of Information

1. Program files.

2. Putting Research Results to Work, A Guide to the Adult Education National Programs, 1988-1995 (Washington, DC: U.S. Department of Education, 1997).

VI. Contacts for Further Information

Program Operations:	Ronald S. Pugsley, (202) 205-8270
Program Studies:	Audrey Pendleton, (202) 401-3630

National Institute for Literacy
(CFDA No. 84.257)

I. Legislation

Adult Education Act, Part D, Section 384(c)-(n), P.L. 102-73, as amended (20 U.S.C. 1213c (c)-(n)) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1993	$4,909,000
1994	4,909,000
1995	4,862,000
1996	4,860,000

III. Analysis of Program Performance

A. Goals and Objectives

The National Institute for Literacy's (NIFL) mission is to work toward achieving the National Education Goal that all adults will be literate and able to compete in the workforce by the year 2000. NIFL helps ensure that all adults who need to improve their literacy and basic skills have opportunities to receive high-quality services that lead to success in the family, at work, and in the community by raising their awareness of the services available and by enhancing the capacity and effectiveness of state and local service delivery systems, particularly by promoting coordination among such systems. In carrying out all of its activities, NIFL leverages resources from other sources, involves adult learners in the design and implementation of projects and activities, and encourages collaboration to achieve success.

B. Strategies to Achieve the Goals

Services Supported

NIFL's activities have been organized into four areas designed to build capacity for systemic change and improvement in adult education: (1) using the Internet and print products to improve communication; (2) creating performance management systems and content standards to build program quality; (3) providing leadership in the policy and program areas; and (4) developing a research agenda to guide the many public and private efforts to increase adult literacy. Major activities are as follows:

- The Literacy Information and Communications System (LINCS) began in 1994 with the establishment of four listservs on the topics of workplace literacy, family literacy, learning disabilities, and English as a second language. NIFL also launched the LINCS regional hub sites to extend the reach of this project into states and local programs. In 1995-96, NIFL focused on making information of special interest to the literacy field available through LINCS in a user-friendly format. This effort complements the larger, general purpose collections available, such as ERIC. LINCS also includes uniform standards for putting unpublished materials on line, so that previously unavailable information can be shared throughout the literacy community in a single, shared format.

- Equipped for the Future (EFF) was launched in 1994 with planning grants to national, state, and local organizations interested in developing content standards for adult education and literacy services and planning for the implementation of these standards through reform of the teaching and learning process. EFF is based on a broad effort to build a national consensus by engaging a widening circle of adult learners, teachers, and others in defining the results of the adult education system.

  In the first phase of this process a survey of adult learners was taken, which revealed four purposes for learning: gaining access to information, expressing ideas and opinions, solving problems and making decisions, and learning how to learn. In the second phase, three roles were also identified--those of citizen, worker, and parent--and these became the focus of additional projects designed to identify key activities adults typically engage in to carry out these roles. In the third phase NIFL has awarded grants to three national consortia to develop content standards for each of the three adult roles (V.1).

- The National Adult Literacy and Learning Disabilities Center (NALLDC) has increased awareness and understanding of learning disabilities and adult education through publications; presentations to national, state, and local conferences; and teleconferences. NALLDC has created a set of standards for instruments to screen for learning disabilities and instructional methods to be used in developing a "tool kit" for practitioners. The "tool kit" will be the basis of a NALLDC training and technical assistance effort to familiarize the adult education field with the results of its work and to improve the use of screening tools and instructional techniques for adults with learning disabilities.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators of performance are under development for the National Institute for Literacy.

IV. Planned Studies

None.

V. Sources of Information

1. S.G. Stein, Equipped for the Future: A Reform Agenda for Adult Literacy and Lifelong Learning (Washington, DC: National Institute for Literacy, February 1997).

VI. Contacts for Further Information

Program Operations:	Andrew Hartman, (202) 632-1500
Program Studies:	Melissa Oppenhenimer, (202) 401-3630

Adult Education--Literacy Training for Homeless Adults
(CFDA No. 84.192)

I. Legislation

Title VII-A of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. 11421) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1987	$6,900,000
1988	7,180,000
1989	7,094,000
1990	7,397,000
1991	9,759,000
1992	9,759,000
1993	9,584,000
1994	9,584,000
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program was to provide discretionary grants to state education agencies (SEAs) to develop and implement programs of literacy training and basic skills remediation for homeless adults. SEAs carried out program activities either directly or through grants or contracts with local recipients. During the last year of the program, over 60,000 homeless adults were served. Program appropriations ended in FY 1995 and this is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. Review of the Adult Education for the Homeless Program (Washington, DC: U.S. Department of Education, 1994).

VI. Contacts for Further Information

Program Operations: Jim Parker, (202) 205-5499

Program Studies: Sandra Furey, (202) 401-3630

Adult Education--National Workplace Literacy Program (CFDA No. 84.198)

I. Legislation

Adult Education Act, Part C, Section 371, P.L. 100-297, as amended by the National Literacy Act of 1991, P.L. 102-73 (20 U.S.C. 1211) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1988	$9,574,000
1989	11,856,000
1990	19,726,000
1991	19,251,000
1992	21,751,000
1993	18,906,000
1994	18,906,000
1995	12,736,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

This program supports demonstration projects designed to improve the productivity of the workforce by providing literacy training to meet workplace needs.

B. Strategies to Achieve the Goals

Services Supported

The National Workplace Literacy Program (NWLP) funds competitive demonstration grants for programs involving partnerships among (1) business, industry, labor organizations, or private industry councils; (2) state education agencies, local education agencies, institutions of higher education, or schools including adult literacy and other basic skills services and activities; and (3) employment and training agencies or community-based organizations.

Programs use a variety of approaches to provide workplace literacy training: providing adult secondary education that may lead to the completion of a high school diploma or its equivalent; providing literacy training for adults with limited English proficiency; updating basic skills to meet the changing needs of the workplace; improving the competency of adult workers in speaking, listening, reasoning, and problem solving; and providing educational counseling. Funds may also be used to provide transportation and child care outside working hours, in order to permit adult workers to participate in the program.

Strategic Initiative

Beginning in FY 1993, the period for grants was lengthened from 18 months to three years. This change gave programs additional time to develop and demonstrate work-based curriculum and teaching methods such as simulations and team-learning approaches, and provided a more reasonable instructional timetable. Projects are in the third and final year of the grant, and will end late 1997 and early 1998.

C. Program Performance—Indicators of Impact and Effectiveness

Each NWLP project is accountable for meeting federal requirements as well as for achieving its own objectives and goals related to both project and learner outcomes as established in each project's funded application.

Preliminary data from the Department's national Evaluation of the Effectiveness of Workplace Literacy Programs indicate that approximately 14,000 learners were served by workplace literacy projects during the first 12 months of federal funding. Also during this time, it was found that only 10 percent of participants had taken more than one course from the workplace literacy program, reflecting a tendency for companies to serve more workers rather than increase the number of courses per worker. Some 33 percent of employers offered partial paid release time to allow workers to take instruction; and 27 percent of employers offered complete paid release time. In addition to these data, workplace literacy project reports indicate that participating employees are obtaining high school diplomas or completing the GED, are taking on more job responsibilities, and in some cases have received job promotions. Projects also report that some employees are enrolling in training beyond that provided under the NWLP grant. Business partners report that employees participating in the program have fewer absences, stay with the company longer, and have shown improved job productivity.

Projects are refining and field-testing job-specific curricula and training modules, some of which will be on interactive multimedia software, suitable for distance learning and appropriate for replication.

Site visits and reports by grantees have revealed unintended consequences unique to participating projects. Employees indicate that they are using their new knowledge outside the workplace, especially in the home. Participants say they are spending more time helping their children with homework and reading books and other information. Participants seem to be more interested in community activities and indicate that the knowledge gained is also transferring to life skills such as personal banking.

Many businesses not involved in the original partnerships have expressed interest in establishing programs at their work sites.

IV. Planned Studies

No new studies beyond the ongoing evaluation of the effectiveness of workplace literacy programs are planned to assess this program. The evaluation will assess "what works" in workplace literacy by taking a detailed look at workplace literacy projects funded in FY 1993 under the National Workplace Literacy Program. A final report will be available in 1997.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Jim Parker, (202) 205-5499
Program Studies:	Sandra Furey, (202) 401-3630

Adult Education--State Literacy Resource Centers
(CFDA No. 84.254)

I. Legislation

Adult Education Act, P.L. 100-297, as amended by the National Literacy Act of 1991, P.L. 102-73 (20 U.S.C. 1208aa) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1992	$5,000,000
1993	7,857,000
1994	7,857,000
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

Program appropriations ended in FY 1994 and this is a close-out report on the program. The goal of this program was to establish a network of centers intended to stimulate the coordination of literacy services and enhance the capacity of state and local organizations to provide literacy services.

B. Strategies to Achieve the Goals

Services Supported

In response to the SLRC program, almost all states developed state literacy centers; 12 states merged resources with other states, forming three regional literacy centers. The legislation specified that governors would apply for the federal grant funds, but that they would designate the state education agency (SEA) or another nonprofit entity to operate the center. SEAs administered the majority of the centers; other administrative agencies were state library systems, community college systems, university systems, governors' offices, and other state departments.

- State and regional literacy centers conducted activities predominantly in four areas: disseminating literacy information and materials, providing training to literacy instructors, promoting coordination and collaboration among literacy providers, and providing technical assistance to literacy instructors.

- Many centers offered training in conjunction with other organizations, such as their state library system or community-based organizations. Training activities most often consisted of basic instruction to teachers, but also included the training of trainers.

- Literacy centers used technology in delivering their services and, to a lesser extent, promoted the use of technology by individuals and organizations providing direct services to adult learners. Eighty percent of the state and regional center directors indicated that their centers maintained an Internet connection, but that on average only 27 percent of literacy providers in their states were connected to the Internet.

- State administrators and state and regional center directors reported that they made use of needs assessments, customer feedback, and other evaluative information to improve their services. The most common needs were for English as a second language, workplace literacy, and support services.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Kimberly S. Reynolds and Thomas A. Fiore, A Descriptive Review of the SLRC Program, a report prepared for the U.S. Department of Education, Planning and Evaluation Service (Research Triangle Park, NC: Research Triangle Institute, 1996).

VI. Contacts for Further Information

Program Operations:	George Spicely, (202) 205-9720
Program Studies:	Melissa Oppenheimer, (202) 401-3630

Adult Education--Functional Literacy and Life Skills Programs for State and Local Prisoners
(CFDA No. 84.255)

I. Legislation

National Literacy Act of 1991, Section 601, P.L.102-73 (20 U.S.C. 1211-2), (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1992	$5,000,000
1993	4,910,400
1994	5,100,000
1995	5,100,000
1996	4,723,000

III. Analysis of Program Performance

A. Goals and Objectives

The Functional Literacy and Life Skills for Prisoners Program provides financial assistance to eligible entities to help them establish, improve, and expand a demonstration or systemwide functional literacy program. It also helps them in establishing and operating programs designed to reduce recidivism through the development and improvement of life skills necessary for reintegration into society.

The Violent Crime Control and Law Enforcement Act of 1994 amended the program statute to authorize the Secretary of Education to use up to 5 percent of program funds appropriated under the Functional Literacy and Life Skills Program for technical assistance activities.

B. Strategies to Achieve the Goals

Services Supported

In FY 1992, 11 functional literacy projects were funded at both correctional and jail education facilities. Over a two-year period approximately 6,800 persons were served through those projects. The projects provide services that help offenders achieve functional literacy, or, in the case of an individual with a disability, achieve a level of functional literacy commensurate with his or her ability.

Life skills projects were funded for the first time in FY 1993. FY 1995 funds were used to provide the third and final year of funding to 18 projects operating in correctional and jail education facilities in 13 states. Approximately 16,500 persons were served over a three-year period. Life skills projects must provide services, such as self-development, communication skills, job and financial skills development, education, development of interpersonal and family relationships, and stress and anger management, that help offenders prepare to return to their communities upon release from correctional facilities. FY 1996 funds support a new three-year grant cycle.

Strategic Initiatives

The Functional Literacy and Life Skills Program grants are monitored by the Department's Office of Correctional Education (OCE) which also provides technical support to state and local education agencies and schools funded by the Bureau of Indian Affairs on correctional education programs and curricula. In addition, OCE administers, the technical assistance funds made available under the Functional Literacy and Life Skills Program as a result of the 1994 Crime Bill.

Some important efforts supported by the technical assistance funds are as follows:

- An interagency agreement with the Department of Justice's National Institute of Justice (NIJ). The purpose is to help support the research, development, and dissemination of three publications, highlighting a promising correctional life skills education programs funded through the Life Skills Programs for Prisoners at three sites.

- A publication entitled, "Is It Working? Self-Help Guide for Evaluating Vocational and Adult Education Programs." This guide was prepared to give project directors and evaluators of vocational and adult education programs, including correctional education, guidance for carrying out substantive program evaluations.

- A "Survey of State Correctional Education Systems: Analysis of Data." The survey of State correctional education systems presents key data collected in 1992-93 for adult and juvenile facilities as well as profiles on those states that responded to the survey. Specifically, the report provides data on the types of educational programs offered at correctional institutions, the number of inmates who participated in these programs, and the staffing and financial resources used to provide education.

- A publication entitled, "Success Stories: Life Skills Through Literature." "Success Stories" is a resource for teachers designed to assist them in using literature as a way of increasing relevance and retention while promoting literacy and life skills. It is not intended as an exhaustive resource, but as a springboard to further investigation by interested correctional teachers and administrators as to the why and how of utilizing literature as an educational tool.

C. Program Performance—Indicators of Impact and Effectiveness

The Office of Correctional Education has received draft final reports from several projects. The results of the Colorado life skills project show that the overall intervention produced significantly lower recidivism rates for the experimental group than for the matched control group. Of the 79 participants in each group, those in the life skills program had a recidivism rate that was less than half the rate of those in the control group.

An interim statistical report from Delaware's life skills project indicates that life skills participants had a recidivism rate of 8.1 percent, compared with 34.9 percent for the comparison group. In one facility involved in the Delaware life skills project, the Baylor Correctional Institution, none of the life skills participants had reoffended after one year.

IV. Planned Studies

Through a supplement to an existing grant with the state of Minnesota, technical assistance funds are being used to support an 18-month study using a sample comprised of every person who was scheduled to leave three state correctional systems (Minnesota, Maryland, and Ohio) over the course of several weeks in winter of 1996. Currently, the researchers' goal is to include at least 3,000 persons in the sample. This project has two distinct phases.

Phase I involves giving the Test of Adult Basic English as a means of establishing academic competencies and surveying participants as to their personal characteristics, family situation, educational experiences, and involvement in drug and alcohol treatment. In addition, a researcher examines each study participant's educational and institutional record to verify the precise nature and extent of the educational and other types of programming he or she received while incarcerated, the academic gains made by those receiving educational services, and the level of institutional adjustment (number and severity of incident reports, etc.).

Phase II involves searches of local, state, and national crime databases for rearrest/reincarceration information and a survey of probation/parole staff to ascertain success of a sample of study participants in obtaining and retaining employment.

V. Sources of Information

1. Program files.
2. Literacy Behind Prison Walls: A National Adult Literacy Survey Report (Washington, DC: U.S. Department of Education, 1993).

VI. Contacts for Further Information

Program Operations:	Richard Smith, (202) 205-5621
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Office of Postsecondary Education

Overview

Effectiveness Of The Postsecondary Education Programs

Enactment of the Government Performance and Results Act of 1993 (GPRA) and the National Performance Review initiative led by Vice President Gore have focused attention on measuring the effectiveness of government programs. For the postsecondary education programs, overall effectiveness is measured as progress toward achievement of Priority 3 of the Department's Strategic Plan:

Ensure access to high-quality postsecondary education and life-long learning.

This Overview presents what is known about the effectiveness of the Department's two largest postsecondary education programs: the Title IV Student Financial Assistance programs and the TRIO programs.

Student Financial Assistance Programs

The Title IV Student Financial Assistance programs provide grant, loan, and work-study assistance to needy students to help them obtain postsecondary education and training. The major Title IV student aid programs are as follows:

- **Federal Pell Grant Program**: provides direct grants to financially needy undergraduates to help meet the costs of their education at participating postsecondary institutions.

- **Campus-Based Aid Programs**: provide financial assistance through participating postsecondary institutions to financially needy students to help them meet the costs of their education. Three types of assistance are provided through the Campus-Based Aid Programs: grants through the **Supplemental Federal Educational Opportunity Grant Program**, subsidized loans through the **Federal Perkins Loan Program**, and work-study opportunities through the **Federal Work-Study Program**.

- **Federal Loan Programs**: make available loans to students and their parents to help them meet the costs of their education at participating postsecondary institutions. There are two basic Federal Loan Programs. In the **Federal Direct Loan Program**, the federal government provides loans directly to students through postsecondary institutions. In the **Federal Family Education Loan (FFEL) Program**, loans are provided by private lenders and insured against default by the federal government. Each loan program offers three types of loans--subsidized loans, available to financially needy students; unsubsidized loans, available to all students; and loans to parents of dependent students.

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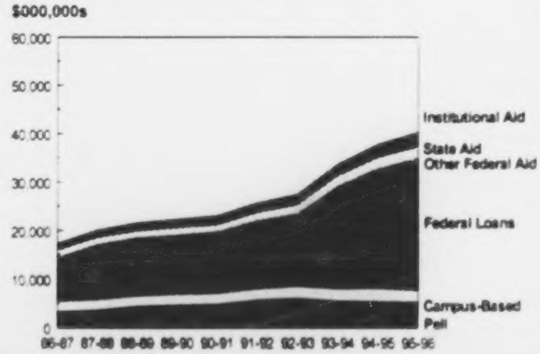
As shown in figure 1, almost $50 billion was made available to students to attend postsecondary institutions in 1995-96. Of this amount, approximately 70 percent--$35 billion--came from the Title IV student aid programs. This percentage has remained constant over the past 10 years. What has changed is the percentage of Title IV student aid that comes from federal loans. In 1986-87, federal loans constituted 63 percent of Title IV student aid; by 1995-96 this proportion had reached 78 percent.

Figure 1
Distribution of Student Aid



Source: Trends in Student Aid: 1986-1996, College Board

Although loans make up the majority of the funds available through the Title IV student aid programs, they do not constitute the majority of federal funds used to support student aid. In FY 1996, for example, the Federal Loan Programs accounted for only about 40 percent of total federal spending on the Title IV student aid programs. The amount available for aid and the amount of federal spending differ because it costs the federal government only between 10 and 15 cents for every dollar in loan money made available to students because loans must be repaid.

As shown in figure 1, the federal government provides a substantial amount of money through the Title IV student aid programs in support of Priority 3, helping ensure access to postsecondary education. However, it is difficult to evaluate the specific effect that the Title IV student aid programs have had on achievement of Priority 3 for the following reasons:

- **Lack of Control Groups:** Program effectiveness is often evaluated by comparing the outcomes for recipients with those for a control group of similar people who did not receive program services. Establishing proper control groups is hard in the case of the Title IV student aid programs, however, because of the entitlement nature of the programs. In general, there are no "similar students" who do not receive Title IV student aid because, for the major student aid programs, students with similar characteristics are eligible to receive the same awards.

- **Importance of Outside Factors:** One method for evaluating program effects without using control groups is to relate changes in the program over time with changes in various outcomes of interest. This type of time-series evaluation is also difficult to do in the student aid programs because outside factors such as the economy, state funding decisions, and changes in elementary and secondary education, heavily influence the outcomes of interest such as postsecondary enrollment and completion. It is extremely difficult to separate out the effects of changes in the Title IV student aid programs from the effects of changes in outside factors. In addition, although there have been a number of changes in the Title IV student aid programs over time, the changes have not been so great that one would necessarily expect to see a corresponding change in outcomes measured at the national level. For example, the $230 increase in the Pell maximum award passed in 1997, while substantial, may not result in an identifiable change in overall participation rates in postsecondary education separate from changes occurring for other reasons.

- **Fungibility**: Students' enrollment decisions will be affected by the net price they face for college; this price depends on the amount of college fees as well as on all forms of aid received by the student. It is therefore difficult to pinpoint the effect of any single program or, even type of aid, such as federal aid, on student behavior.

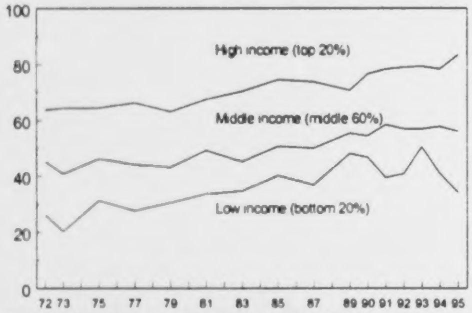
Given the difficulties of isolating the behavioral effects of the Title IV student aid programs, the Department has chosen to assess the effectiveness of the student aid programs without attempting to establish a causal link between program funding and achievement of specific outcomes. Rather, as described in the remainder of this section the Department has developed performance indicators for the Title IV student aid programs focused on **whether the programs have reduced financial barriers to college participation, are meeting the needs of their customers, and are being administered in a cost-effective manner.**

Reducing Financial Barriers to College Participation

One indicator of whether the student aid programs have been successful in reducing financial barriers to college participation is a comparison of the educational outcomes for low-income and high-income students. Significant differences in educational outcomes for various income groups may indicate that financial barriers remain in the system. Data are presented here below on three key postsecondary outcomes: **access, choice, and persistence**.

Access: Figure 2 demonstrates that there are wide differences in the rate of college attendance among different income groups. In 1995, students from families in the top 20 percent of the income distribution were more than twice as likely to enroll immediately in college than were students from families in the bottom 20 percent of the income distribution--83.4 percent vs. 34.2 percent. High school graduates from families in the middle 60 percent of the increase distribution also were much less likely to attend college immediately (56.1 percent) than were higher income students.

Figure 2
Percentage of High School Graduates
Immediately Enrolling in College



Source Condition of Education 1997, Analysis of October CPS Data

Figure 2 also shows that while the percentage of high school graduates enrolling directly in college has increased over the past 20 years for all income groups, in the past two years enrollment rate differences by income have increased sharply with low income rates falling 16 percentage points, middle income rates dropping slightly (falling 2 percentage points), and high income college enrollment rates increasing 5 percentage points. Due to the relatively small sample sizes involved, yearly fluctuations in college-going rates are common and longer term trends are probably a more accurate reflection of underlying behavior. However, these recent trends are very troubling and need to be monitored carefully.

While figure 2 is a good measure of the extent to which financial barriers are present in the entire educational system, it does not provide direct evidence regarding the effectiveness of student aid in removing financial barriers to postsecondary access. The problem is that many factors other than

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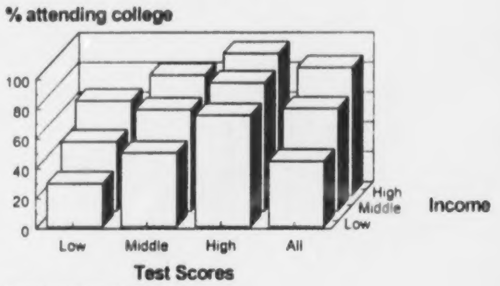
student aid influence the equalization of college participation rates across income groups. In particular, students from lower income families tend to be less well prepared academically. Consequently, they will be less likely to attend college regardless of the amount of financial aid provided.

A better test of the success of the student aid programs at removing financial barriers to participation is analyzing whether the percentage of students attending college varies across income groups among similarly well prepared high school students. Unfortunately, collecting such data requires expensive and time-consuming longitudinal studies that can be conducted only infrequently. Figure 3 presents data from the latest of these longitudinal studies, the National Education Longitudinal Study (NELS), which followed the educational careers of a representative sample of students enrolled in the eighth grade in 1988.

Figure 3
College Access By Test Scores and Income



Income and test scores divided into thirds
Source: Analysis of NELS data

Figure 3 indicates that the gap in college attendance rates between high- and low-income students has been narrowed but not eliminated when comparisons are made between students receiving similar test scores. Looking at the "All" column, one can see the relationship between income and college attendance without consideration of test scores. Students from families in the top third of the income distribution are almost twice as likely to attend college as those from the bottom third (85.7 percent vs. 43.9 percent). Among students with high test scores (in the top one-third of the distribution), the difference in college participation between high-income and low-income students is much smaller (95.2 percent vs. 74.7 percent) but still substantial. There are bigger differences by income among students testing in the middle and bottom thirds of the distribution, although low-income students with high test scores are more likely to attend college than high-income students with low test scores (74.7 percent vs. 63.6 percent). These findings suggest that significant financial barriers to college participation remain in the educational system, particularly for lower-income students.

Choice: Another goal of the student aid programs is to help reduce financial barriers that affect a student's choice of postsecondary institution. Table 1 presents data from the NELS on the type of institution attended by students in different income and test score groups who were enrolled in college.

Table 1
College Choice, By Test Scores and Income

	Distribution of Students Attending College			
	4-year public	4-year private	<4-year public	<4-year private
All				
Low income	33.0%	12.1%	44.6%	10.3%
Middle income	37.2	15.8	44.1	6.0
High income	44.5	25.1	27.1	3.4
Low Test				
Low income	23.0	5.5	55.3	16.5
Middle income	23.2	8.8	57.5	10.3
High income	24.8	7.5	60.2	7.5
Middle Test				
Low income	32.2	11.3	47.6	8.9
Middle income	32.0	10.9	50.2	6.9
High income	41.0	18.6	35.1	5.3
High Test				
Low income	45.1	19.9	30.0	5.0
Middle income	46.8	22.5	27.3	3.4
High income	50.1	31.6	16.7	1.7

Note: Income and test scores are evenly divided into thirds.
Source: Analysis of NELS data.

As shown in table 1, there are substantial differences in college choice by income groups when test scores are not considered. High-income students were more than twice as likely to attend more expensive, four-year private colleges than low-income students (25.1 percent vs. 12.1 percent) and 40 percent less likely to attend cheaper, less-than-four-year public colleges (27.1 percent vs. 44.6 percent). As was the case with access, the difference in the type of college attended by high- and low-income students is reduced but not eliminated when comparisons are made among students receiving similar test scores. Among students receiving test scores in the top one-third of the

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distribution, high-income students were 60 percent more likely to attend four-year private colleges than low-income students (31.6 percent vs. 19.9 percent), and 45 percent less likely to attend less-than-four-year public colleges (16.7 percent vs. 30 percent). However, low-income students with high test scores were almost three times as likely to attend a four-year private college as were high-income students with low test scores (19.9 percent vs. 7.5 percent), which indicates the selective nature of many of these colleges. In all test score groups, low-income students were the most likely to attend less-than-four-year private institutions, which are mostly private, for-profit, vocationally-oriented institutions.

Persistence: Besides providing access to college, the student aid programs are also designed to help ensure that once students are enrolled, financial barriers do not prevent them from achieving their educational goals. Table 2 presents data from the Beginning Postsecondary Students study (BPS) on the percentage of full-time, beginning college students in 1989-90 who either attained a degree or were still enrolled in college as of the spring of 1994.

Table 2
College Completion, By Type of School Attended and Income

	Percentage of students enrolled full time beginning in 1989-90 who attained a degree or were still enrolled in the spring of 1994			
	4-year public	4-year private	2-year	<2-year
Dependent				
Less than $20,000	70.7%	75.5%	55.5%	68.8%
$20,000-$39,999	75.7	82.3	65.0	61.5
$40,000-$59,999	79.1	86.6	65.1	89.0
$60,000 and over	83.2	89.1	69.8	Low-N
Independent	54.4	68.3	53.8	65.0

Source: Analysis of BPS data.

As shown in table 2, college completion rates tend to increase with income[1] in all types of institutions suggesting that the system still contains financial barriers to completion. However, many nonfinancial factors affect college persistence and they may also contribute to the differential completion rates between low-income and high-income students.

Affordability: Another indicator of the effect of the Title IV student aid programs on removing financial barriers is the ability of the programs to keep college affordable for low-income students.

Figure 4 uses data on a representative sample of individual students from the National Postsecondary Student Aid Studies (NPSAS) of 1987, 1990, and 1993 to analyze changes in the purchasing power of the Title IV student aid programs in recent years in terms of the percentage of tuition met by these programs.

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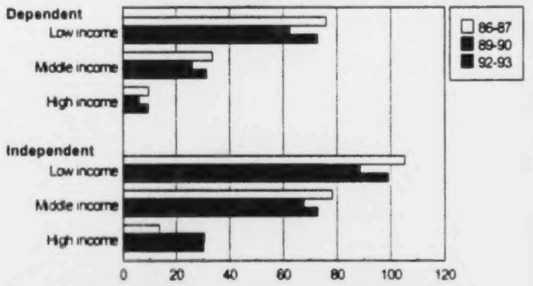
[1] In most cases independent students, who tend to have lower incomes, had lower completion rates than dependent students.

Figure 4 indicates that, for most students, the proportion of tuition met by Title IV student aid declined between 1986-87 and 1989-90 and then recovered between 1989-90 and 1992-93, leaving students slightly worse off than they had been in 1986-87. Specifically, Title IV student aid made up 74.3 percent of tuition for low-income dependent students in 1986-87. This fell to 63.7 percent in 1989-90 and then increased to 71.2 percent in 1992-93. Similarly, among all low-income independent students, the proportion of tuition met by Title IV student aid amounted to 105 percent[2] in 1986-87, fell to 88.4 percent in 1989-90, and then recovered to 95.7 percent in 1992-93. Figure 4 also indicates that Title IV student aid is well targeted, with low-income students receiving much more support than high-income students. In 1992-93, for example, Title IV student aid met almost eight times the proportion of tuition for low-income dependent students as it did for high-income students (72.7 percent vs. 9.5 percent).

Figure 4
Percentage of Tuition Met By Title IV Student Aid, By Income



Note: Sum of Title IV aid, including non-recipients, divided by sum of tuition. Income divided by quartiles, with the two middle quartiles combined.
Source: National Postsecondary Student Aid Studies: fall enrollment only.

One of the factors that has helped maintain the purchasing power of Title IV student aid has been an increase in the percentage of students receiving Title IV student aid. Between 1986-87 and 1992-93, the percentage of low-income dependent students receiving Title IV student aid increased from 51.2 percent to 61.5 percent (not shown in figure). For low-income independent students, the proportion receiving Title IV student aid increased from 53.2 percent in 1986-87 to 72.7 percent in 1992-93.

Client Satisfaction

The previous section focused on measuring the outcomes of the student aid programs. How the Department administers the Title IV student aid programs also is important. One of the key ways the Department is measuring its administrative performance is by asking its primary clients-- students and institutions--how well it is doing in running the Title IV student aid programs. Indicators of client satisfaction have been obtained in **the student loan programs** and **overall student aid delivery system**, which are discussed here.

Student Loan Programs: In 1994-95, the Department launched the Direct Loan Program in an effort to improve the administration of the student loan programs for both institutions and borrowers. The Direct Loan Program is intended to streamline administration by having the federal government provide loan capital directly to postsecondary institutions with which to originate loans, rather than having lenders provide the capital with the loans insured by guarantee agencies and then reinsured

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[2] Because title IV student aid can be used for living expenses the amount may exceed 100 percent of tuition.

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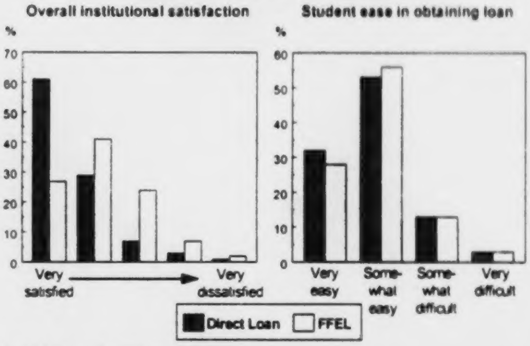
by the federal government. By eliminating the middlemen, the Department expected that Direct Loans would be easier for institutions to administer and that it would be faster and simpler for borrowers to get their loans.

At the same time the Department was beginning the Direct Loan Program, it also awarded a contract to evaluate the program's implementation and subsequent operation. Key components of the evaluation were surveys of postsecondary institutions and borrowers designed to compare satisfaction with various aspects of the Direct Loan and Federal Family Education Loan (FFEL) programs. Figure 5 presents the results of surveys of both institutions and borrowers participating in the first year of the Direct Loan Program (1994-95) and a corresponding sample of institutions and borrowers participating in the FFEL program.

As shown in figure 5, there was a high degree of satisfaction among postsecondary institutions and borrowers with both the Direct Loan and FFEL programs. First-year Direct Loan Institutions indicated greater satisfaction with the Direct Loan Program than did FFEL institutions with the FFEL program (90 percent vs. 68 percent). The biggest difference between the two programs was in the proportion of institutions that said they were very satisfied (61 percent vs. 27 percent). Among students, there was no significant difference in the percentages of first-year Direct Loan borrowers and FFEL borrowers indicating that the loan origination process was easy (85 percent vs. 84 percent). Very few (3 percent or less) institutions and borrowers in either program indicated they were very dissatisfied with their loan program.

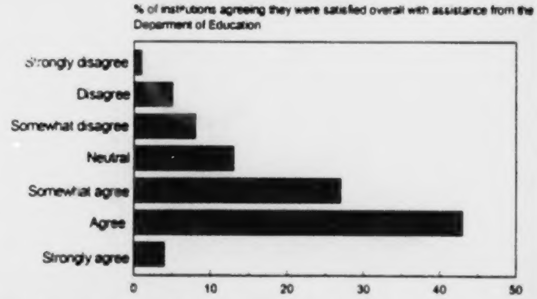
Figure 5
Client Satisfaction in the Student Loan Programs



Source Direct Loan Evaluation Macro International

Another way to assess the Direct Loan Program's service to borrowers is to question borrowers who have borrowed under both the Direct Loan and FFEL programs about their comparative experiences. This provides a better test of the relative merits of the two programs than just asking borrowers about their experiences in one program only. When asked to compare their 1994-95 Direct Loan experience with their prior FFEL experience, 39 percent of first Direct Loan borrowers cited their Direct Loan experience as more positive. This is almost double the percentage of FFEL borrowers (21 percent) who said that their 1994-95 loan experience was more positive than prior FFEL experiences.

Figure 6
Institutional Satisfaction with the Title IV Delivery System



Source: Higher Education Survey #20, Westat Inc.

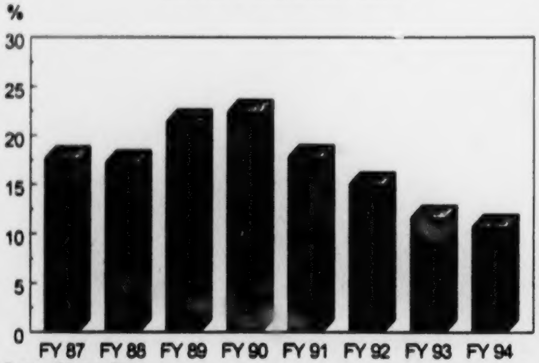
Overall Student Aid Delivery System: In

1995, the Department surveyed a representative sample of postsecondary institutions about their satisfaction with the delivery of the federal student financial assistance programs. Findings from that survey, as shown in figure 6, revealed that the majority of institutions (73 percent) were pleased overall with the assistance they received from the Department. The most common response was that institutions *agreed* they were pleased with the Department's assistance (43 percent). A few institutions (4 percent) *strongly agreed* that they were pleased, while 27 percent of institutions indicated they *somewhat agreed*. The remainder of the responses were split between institutions that were neutral (13 percent) and those that disagreed that they were satisfied overall (14 percent).

Cost-Effectiveness

A key goal of all federal programs is to minimize operational costs and to maximize the benefits that society receives from the program. In the Title IV student aid programs, one of the major costs of operating the programs is the **cost associated with students defaulting on their loans.** As shown in figure 7, the Department has made great strides in reducing the default rate in recent years. The FFEL cohort default rate--the rate at which FFEL borrowers default within two years of entering repayment--has declined by over one-half in the past five years, from 22.4 percent in FY 1990 to 10.7 percent in FY 1994. The following two factors have contributed to the decline in the default rate:

Figure 7
Cohort Default Rate

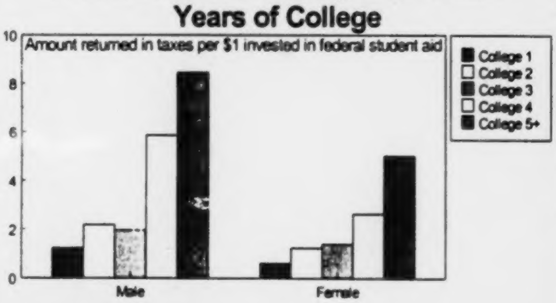


Source: Program Data.

- In 1990, the Department received statutory authority to exclude institutions with high default rate from participation in the student loan programs. Since that time, 750 institutions, 85 percent of which were proprietary schools, have been removed from the FFEL program. The elimination of these problem schools caused the cohort default rate among proprietary schools to decline from 41.2 percent in 1990 to 21.1 percent in 1994.
- Economic growth in recent years has made it easier for students to find jobs and repay their loans.

Another measure of cost-effectiveness is the **increase in federal tax revenue attributable to the federal investment in the student aid programs**. Substantial economic returns accrue to additional education, part of which is attributable to the federal investment in student aid, without which many people could not attend college. This additional income also leads to additional tax revenue for the country. Comparing the tax revenue generated by the student aid programs to their cost provides a good indication of the cost-effectiveness of the programs.

Figure 8
Estimates of the Return on Federal Student Aid, By Gender and Years of College



5% discount rate, 2% growth rate
Source: Planning and Evaluation Service..

As shown in figure 8, comparing the increased tax revenue attributable to student aid to the federal costs of providing this aid reveals that federal student aid is very cost-effective. Using conservative assumptions, **a dollar invested in the federal student aid programs returns $4.30 in additional tax revenue over a student's lifetime** (average not shown in figure). This return ranged from $1.24 for men with one year of college to $8.45 for men with five or more years of college. For women the return was

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smaller--$0.64 for one year of college and $5.02 for women with five or more years of college. These estimates count additional tax revenues only for those students whose educational attainment was probably made possible by the receipt of federal student aid, not for all students enrolled in college. All revenues and costs were discounted to present dollars using a 5 percent discount rate, and incomes were assumed to grow 2 percent per year over time.

Trio Programs

TRIO consists of six federally funded grant programs administered by the Department of Education: Upward Bound, Talent Search, Student Support Services, Educational Opportunity Centers, Training Program for Federal TRIO Programs, and the Ronald McNair Post-Baccalaureate Achievement Program. In general, these programs are designed to help economically disadvantaged students succeed at the postsecondary level-by facilitating completion of high school; entry into, retention, and completion of postsecondary education; and entry into graduate study. Although the two largest TRIO programs (Upward Bound and Student Support Services) are aimed at disadvantaged high school and undergraduate students, other TRIO programs serve middle-school students, graduate students, and out-of-school adults.

At present, 1,895 TRIO programs (including 16 Training grants) located in 1,200 colleges, universities, and agencies serve approximately 671,000 disadvantaged students. As mandated by Congress, two-thirds of TRIO participants must be from low-income families in which neither parent has completed a baccalaureate degree.

TRIO programs give eligible students a range of educational services designed to supplement those provided in the regular school program, including advanced academic instruction; tutoring; remediation; personal, academic. and financial aid counseling; exposure to cultural events; and referral to other service providers.

The amount of assistance the TRIO programs provide to students varies widely; for example, the Upward Bound program provides high school students with long-term assistance that costs $3,848 per student annually, while Talent Search serves similarly disadvantaged high school students at a cost of $263 per student annually.

For the past several years, the Department has conducted evaluations of TRIO's two largest programs-Upward Bound and Student Support Services, which receive about 70 percent of total program funding. Recently published findings are summarized here:

Upward Bound Evaluation[3]

The evaluation of Upward Bound reports on the short-term effects of program participation upon high school course-taking and educational expectations. Findings are based on a longitudinal study of 2,800 randomly selected program participants and controls. Results in subsequent reports will describe longer-term effects on college enrollment, persistence, and completion. A second volume describes program operations, services, recruitment, and selection decisions based on surveys and case studies conducted as part of the evaluation.

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[3] David Myers and Allen Schirm, "The Short-Term Impact of Upward Bound: An Interim Report," Mathematica Policy Research, February 1997; Mary Moore, "A 1990s View of Upward Bound: Programs Offered, Students Served, and Operational Issues," Mathematica Policy Research, February 1997.

Short-term Effects

- **Upward Bound has a significant positive effect on students' educational expectations.**

  Participants are expected to complete almost 0.25 more years of school on average than nonparticipants in a control group.

- **Upward Bound has a statistically significant positive effect on the amount of academic coursework students take while in high school.**

  Upward Bound increases the number of high school academic credits students earn during the first year of program participation. Participants earned about one credit (Carnegie unit) more than nonparticipants. This effect is large when compared with the experiences of a typical high school student, who each year is expected to complete about five academic or elective credits. Participants earned more credits than nonparticipants in science, math, English, foreign languages, and social studies.

- **The effects of Upward Bound vary with the length of time students participate and their initial educational expectations.**

  The program is most beneficial for students who persist in the program and for those entering with low educational expectations. These two areas--retention and student selection--offer opportunities for program improvement.

Focus on Academics

- **The typical Upward Bound experience is a highly structured, rigorous, demanding program of supplemental academic instruction.**

  The average program participant received 179 sessions of supplemental academic instruction yearly. Most projects offer a large number of academic courses during the summer and regular school year. In contrast to the early 1970s, when most Upward Bound instruction was remedial, the program's current emphasis includes coursework that supports a college preparatory high school curriculum and advanced instruction.

  These findings about the short-term academic effects of Upward Bound are particularly important, given concerns about the program's academic rigor that were raised in an evaluation conducted two decades ago. As a short-term measure of program effectiveness, increased student exposure to academic coursework suggests that Upward Bound may be preparing students to succeed at the postsecondary level.

Future reports will describe the longer-term effect of Upward Bound on high school graduation, preparation for college, and college enrollment, persistence, and completion.

Student Support Services Evaluation[4]

The evaluation of Student Support Services (SSS) reports the effects of program participation on college retention, grades, and credits earned. The results are based on data from 5,800 program participants and comparison group students whose progress was measured over a three-year period. As shown here, the study results suggest that the Student Support Services program has a modest positive effect upon the rates of college retention among economically disadvantaged students.

Effects on Student Outcomes

- **The SSS program has a positive and statistically significant effect on three separate student outcomes--grades, credits earned, and retention. The effects, although modest, usually persist over three years.**

  -- Students' grade point averages were increased by a mean of 0.15 point in the first year, 0.11 in the second year, and 0.11 in the first three years combined.

  -- The number of credits earned was increased by a mean of 1.25 in first year, 0.79 in the second year, 0.71 in the third year, and 2.25 in the first three years combined.

  -- Retention at the same institution to the second year was increased by 7 percent, and by 9 percent to the third year. Retention to the third year at any higher education institution was increased by 3 percent.

Program Operations

- **SSS program participants receive diverse types and moderate levels of service.**

  Projects offer different packages of services and, even within a single institution, students participate in many different ways. The two services that are most frequently received are professional counseling and peer tutoring. However, the amount of assistance students actually obtain is quite modest, with 30 percent of program participants having less than five service contacts during their freshman year.

- **The program's services are well targeted to serve disadvantaged students.**

  Compared with other students at the same institutions, SSS students were much more likely to be economically disadvantaged, minority, and ill-prepared academically for college.

Future reports will contain information on longer-term program effects on college graduation.

Office-Wide Performance Objectives and Indicators for the Office of Postsecondary Education

The Office of Postsecondary Education (OPE) is the responsible agency within the Department of Education for managing the programs described in Chapters 501 through 539 of this Biennial

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[4] Bradford Chaney, Lana Muraskin, Margaret Cahalan, and Rebecca Rak, "National Study of Student Support Services: Third-Year Longitudinal Study Results and Program Implementation Study Update," Westat, February 1997.

Evaluation Report. The Department has developed Office-wide objectives and performance indicators for OPE. These objectives and indicators focus on access to postsecondary education; persistence of financial aid recipients; the return to taxpayers of the federal investment in student financial aid; high-quality program management by institutions, agencies and lenders; effective program management by OPE; and provision of effective information to prospective students and families about postsecondary education cost and the availability of financial aid.

OPE performance objectives, and the indicators used to measure progress, will be increasingly prominent in future analyses of the effectiveness of postsecondary education programs. Because they pertain to all OPE programs, they are displayed in the following pages and cross-referenced in each OPE program chapter.

Office of Postsecondary Education (OPE): Office-Wide Performance Indicators — DRAFT — March 10, 1997

Goal: To provide access to high-quality postsecondary education

Objectives	Indicators	Source and Next Update	Strategies
1. **Eligible low- and middle-income students will have the same access to postsecondary education as high-income students.**	1.1 **Percent of unmet need.** Considering all sources of financial aid, the percent of unmet need, especially for low-income students, will show continuous decreases over time. *(In 1992-93, percent of unmet need was 30% for all students ranging from 54% for low-income independent students to 4% for upper-income dependent students.)* 1.2 **Gap in college participation between low- and high-income high school graduates.** The gap in college participation between low- and high-income high school graduates will decrease each year. *(In 1995, there was a significant gap in college participation between low- and high-income high school students. High income students enrolled at a rate that was 32 percentage points higher than the rate for low-income students. Analysis of NELS data ongoing.)*	1.1 National Postsecondary Student Aid Study (NPSAS) 1996/97 survey, 2001 *(Note: Interim measures to be developed to track between NPSAS surveys which are scheduled to be conducted every four years.)* 1.2 National Education Longitudinal Survey 1988 (NELS), 2002, and Current Population Statistics (CPS), 1997. *(CPS will be used to track overall trends between longitudinal surveys.)*	• Work to enact and implement the HOPE Scholarship initiative, tax deduction for postsecondary education, and Presidential Honors Scholarships. • Further expand funding for the Pell Grant Program and College Work Study Program. Work to assure that TRIO and other support programs are effective and available to needy students. • Expand upon the current information dissemination strategies. • Monitor loan availability and assess the adequacy of current loan limits. • Monitor enrollment and population trends and identify any problems in enrollment of low-income students.
2. **Financial aid recipients will persist in postsecondary education and attain degrees and certificates.**	2.1 **Completion rate.** The gap will narrow on a continuing basis between low- and high-income, full-time, degree-seeking students enrolling in a four-year college who graduate within five years, and in a two-year college who graduate within three years.	2.1 Beginning Postsecondary Students (BPS) Survey (graduation rates), 2001 *(Note: Interim measures to be developed to track between BPS surveys which are scheduled to be conducted every eight years.)*	• As part of reauthorization of the Higher Education Act, pursue better linkages between OPE programs and systemic reform efforts underway in the Elementary and Secondary Education Programs to help ensure that entering freshman are academically prepared for postsecondary education.

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Office of Postsecondary Education (OPE): Office-Wide Performance Indicators — DRAFT — March 10, 1997

Goal: To provide access to high-quality postsecondary education

Objectives	Indicators	Source and Next Update	Strategies
	(As a baseline, BPS data indicate a gap of approximately ***23%*** *in four-year college completion within five years between low and high income students. For students entering four-year colleges in 1990, the percentage that had graduated by 1994, is as follows:* *Highest income quartile:* ***57.2%*** *Second income quartile:* ***47.4%*** *Third income quartile:* ***40.4%*** *Lowest income quartile:* ***34.4%*** **2.2 Post-enrollment employment rate.** Title IV recipients will maintain employment at rates at least equal to non-recipients. *(BPS data suggest that employment rates of Title IV recipients and non-recipients are equal for both graduates and non-graduates.)*	2.2 BPS, 1998 (employment of those attaining a certificate or associates degree) and Baccalaureate and Beyond (B&B), 2001 (employment of those attaining a bachelors degree)	• Enhance the effectiveness of TRIO/Student Support Services projects through (1) implementation of recommendations arising from the on-going evaluation of the programs and, (2) through more effective monitoring and dissemination of information regarding effective practices.
3. Taxpayers will have a positive return on investment in the federal student financial assistance programs.	**3.1 Return on investment.** The benefits of the student aid programs, in terms of increased tax revenues, will exceed their costs. *(ED study found that for every dollar spent on men to obtain two years of college, $2.19 was returned to the treasury. Comparable estimate for men to obtain four years of college was $5.86. Estimates for women were lower.)*	3.1 Analysis of Census data by Office of the Under Secretary's Planning and Evaluation Service (PES), 1997	• Continue to monitor trends regarding costs/benefits and lifetime earnings. • Carry out activities described above to increase persistence, degree attainment, and job placement which have direct impact on investment.

Office of Postsecondary Education (OPE): Office-Wide Performance Indicators — DRAFT — March 10, 1997

Goal: To provide access to high-quality postsecondary education

Objectives	Indicators	Source and Next Update	Strategies
4. Ensure high quality program management by institutions, agencies and lenders.	4.1 **IPA institutional audit quality.** OIG Quality Control Reviews will find that required institutional audits show increasing levels of quality. *(Baseline to be determined.)* 4.2 **QA program participation rate.** Increase the number of institutions participating in the Quality Assurance Program to 500 by the year 2000. *(Currently there are 130 institutions participating in the program.)* 4.3 **Compliance rate.** Institutional compliance rates will show increases over baseline. *(Baseline to be determined.)* 4.4 **Customer satisfaction.** Surveys of institutions will show satisfaction with OPE efforts to ensure increases in management flexibility and reduced burden. *(Baseline to be determined.)*	4.1 Institutional Participation and Oversight Service (IPOS) data, annual, 1997 4.2 IPOS data, annual, 1997 4.3 Contractor and IPOS data; annual. *(Estimated $3.8 million in contract costs will be required to support the assessment of institutional compliance)* 4.4 OPE/PES customer survey, annual, 1998	• See key strategies on following page regarding case management and risk analysis. Other strategies include: • Promote prevention-based Quality Assurance strategies. • Continue efforts to reduce regulatory burden, where appropriate. • Implement incentive-based approach to default prevention (Guaranty Agencies). • Seek new collection authorities to minimize loss on defaults. • Improve the quality of third party audits.
5. Provide effective program management to ensure that programs are efficiently administered and are cost-effective.	5.1 **Application data quality.** Improved verification procedures will result in continuous improvement in the accuracy of applicant data. *(Baseline to be determined.)*	5.1 Central Processor System data, Quality Assurance Program statistics; annual, 1997	• Continue Project EASI as well as shorter-term initiatives to increase use of electronic data transmission • Pursue data matching with the IRS to improve data quality and reduce burden for Title IV applicants.

Office of Postsecondary Education (OPE): Office-Wide Performance Indicators — DRAFT — March 10, 1997

Goal: To provide access to high-quality postsecondary education

Objectives	Indicators	Source and Next Update	Strategies
	5.2 **Timely delivery of the programs.** Meet Master Calendar established rates-100%. 5.3 **Reduce cost of NSLDS.** Per unit contract costs associated with operation and maintenance of the NSLDS will decrease over time. 5.4 **Targeting effectiveness for case management** (Percent of schools selected which have compliance and enforcement actions or required technical support, including recertification issues). The effectiveness of Institutional Participation and Oversight Service (IPOS) targeting activities will show continuous improvement over baseline. *(Baseline to be determined.)* 5.5 **Sustainment rate.** The rate at which adverse findings/determinations (audit liabilities, terminations [ALJ decisions], fines, program review liabilities) are sustained will show continuous improvement over baseline. *(Baseline to be determined.)* 5.6 **Institutional cash management.** Cash management ratios calculated for individual schools and the programs as a whole will show the degree to which schools expend their funds according to regulations (e.g. within three days of receipt). These ratios will continue to improve. *(Baseline to be determined.)*	5.2 OPE program data; annual, 1997 5.3 OPE program data; annual, 1997 5.4 IPOS data (risk analysis system), annual, 1997 5.5 IPOS data, 1997, and Postsecondary Education Participant System, annual, 1997 5.6 OPE program data, quarterly, 1997	• Continue Title IV-wide initiative to improve quality in data systems. • Expand performance-based contracting. • Improve responsiveness to customers (e.g. grants reengineering) and regular measurement of customer satisfaction. • Continue to provide leadership in the community in support of the national priority for quality education. • Implement Case Management team monitoring approach in the IPOS to improve school eligibility processes. • Complete testing of the Risk Analysis model by 09/30/97, modify model, as needed, and implement across IPOS • Encourage improved accreditation processes as a means of eliminating poorly performing institutions from participation in the Title IV Programs. • Promote expanded performance measurement in the administration of the Title IV Programs to better assess and monitor institutional performance. • ED is committed to continue to monitor school and program cash management and accountability performance.

Office of Postsecondary Education (OPE): Office-Wide Performance Indicators — DRAFT — March 10, 1997

Goal: To provide access to high-quality postsecondary education

Objectives	Indicators	Source and Next Update	Strategies
6. Provide effective information to prospective students and their families about the true cost of obtaining a postsecondary education and the availability of student financial aid.	6.1 **Early understanding.** A majority of prospective students at age 12 and above and their parents will have an accurate assessment of the cost of attending college and the aid available for college. *(Baseline to be developed.)* 6.2 **Understanding of student academic responsibilities.** Percentage of high school students who are aware of academic requirements for college/vocational enrollment will increase each year. (*Baseline to be developed*)	6.1 Polling data, annual, 1998 6.2 PES/OPE data, 1998	• Develop partnerships with secondary and middle school counseling organizations, and expand efforts to develop outreach and early awareness materials that emphasize financial planning strategies, and relate postsecondary education costs to available aid. • Develop outreach program using public service announcements, visual media, and other means to increase student awareness among low-income and at-risk students. • Information on postsecondary educational costs and availability have been added to the OPE Home Page on the Internet.

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Federal Pell Grant Program
(CFDA No. 84.063)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 1, as amended (20 U.S.C. 1070a) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$122,100,000	1988	$4,260,430,000
1975	840,200,000	1989	4,483,915,000
1980	2,157,000,000	1990	4,804,478,000
1981	2,604,000,000	1991	5,375,502,000
1982	2,419,040,000	1992	5,502,855,000
1983	2,419,040,000	1993	6,461,970,000
1984	2,800,000,000	1994	6,633,566,000
1985	3,862,000,000	1995	6,143,680,000
1986	3,579,716,000	1996	4,913,560,000
1987	4,187,000,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to ensure access to postsecondary education for all qualified students, regardless of their financial circumstances. The program provides direct grants to help financially needy undergraduate students meet the costs of their education at participating postsecondary institutions.

B. Strategies to Achieve the Goals

Services Supported

Federal Pell Grants are available to undergraduate students enrolled in a degree or certificate program at an eligible institution. Students must have a high school diploma or its equivalent or pass an examination prepared by the Secretary to demonstrate ability to benefit from the training offered by the institution. Students must also demonstrate financial need, based on the ability of the student, or student and family, to contribute financially toward the cost of the student's postsecondary education. The 1992 Reauthorization of the Higher Education Act established a single formula for determining eligibility for all Title IV student aid programs.

A student applying for Federal Pell Grants submits a Free Application for Federal Student Aid approved by the Secretary, which is processed for the Department of Education under contract with several data entry and processing organizations. The student is notified of his or her eligibility for assistance through the Student Aid Report (SAR). The institutions calculate each student's award in accordance with a formula defined in the authorizing statute. Institutions then report to the

Department of Education on all Federal Pell Grant funds distributed to students enrolled at the school.

As shown in Table 1, 3.6 million students received Federal Pell Grants averaging $1,515 each in the 1995-96 award year. This represents an increase of 28 percent in the number of recipients since 1985-86 but a decrease of almost 10 percent since 1992-93 (V.1). The decline in both Pell Grant recipients and total awards in recent years is due to several factors, including a tightening of eligibility requirements in the 1992 Reauthorization of the Higher Education Act, particularly for independent students without dependents; a reduction of $100 in the maximum award; and a slowdown in the rate of increase in applications in 1994-95, probably caused by the recovering economy.

In 1995-96, 5,725 institutions were participating in the Federal Pell Grant Program, 212 institutions fewer than in the prior year and 676 fewer than in 1992-93 (V.2). The decrease in the number of participating Pell Grant institutions is concentrated among private, for-profit (proprietary) institutions. Many of these proprietary schools had such high default rates that they lost their eligibility to participate in the student loan programs and could not survive financially.

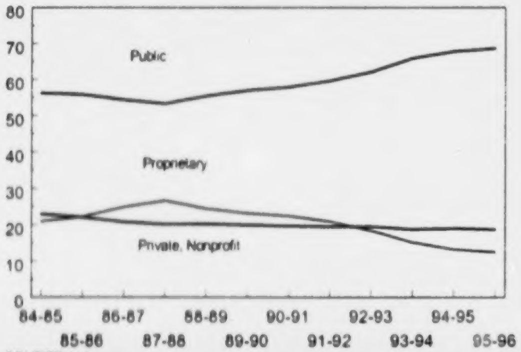
As Figure 1 shows, the percentage of Pell Grant funds going to proprietary institutions fell steadily from 26.6 percent in 1987-88 to only 12.5 percent in 1995-96. Public institutions absorbed most of the additional funds, increasing their share of Pell awards from 53.4 percent to 68.7 percent over the same time period. The share of Pell funds going to private, nonprofit institutions fell slightly, from 22.9 percent in 1984-85 to 18.8 percent in 1995-96.

Table 1
Statistics on the Federal Pell Grant Program, Selected Years

	1985-86	1992-93	1993-94	1994-95	1995-96
No. of applicants	5,627,131	8,248,141	8,770,409	8,969,646	9,117,753
No. determined eligible	3,710,933	5,243,139	5,328,698	4,902,257	4,786,238
No. of recipients	2,813,489	4,002,045	3,755,675	3,674,967	3,611,821
Total awarded ($000's)	$3,597,380	$6,175,902	$5,654,453	$5,519,424	$5,471,708
Average award	$1,279	$1,543	$1,506	$1,502	$1,515

Source: V.1.

Figure 1
Distribution of Pell Awards by Institutional Control, 1984-85—1995-96



SOURCE: V.1

As shown in Table 2, the Pell program is targeted at low-income students. In 1995-96, 76 percent of independent Pell Grant recipients had incomes of $15,000 or less as did 42 percent of the parents of dependent recipients. Overall, less than 9 percent of Pell Grant recipients had incomes in excess of $30,000. In general, average awards decrease as income increases. Some 42 percent of dependent Pell Grant recipients had parents whose income was $15,000 or less, but these students received 50 percent of the Pell Grant funds that went to dependent students.

Because they tend to have lower incomes, independent students make up the majority of the Pell Grant program (58.5 percent of recipients in 1995-96). This is down slightly, from 62.1 percent of recipients in 1992-93, due to changes made in the 1992 Reauthorization of the Higher Education Act (V.1).

Strategic Initiatives: One of the Administration's top priorities is to increase the Pell Grant maximum award to help ensure college access for low-income students. The President's 1998 budget request calls for a $300 increase in the Pell Grant maximum award to $3,000, its highest level ever. In addition, the 1998 budget request increases the eligibility of independent students without dependents for Pell Grants, helping to counteract changes made in the 1992 Reauthorization of the Higher Education Act.

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Table 2
Distribution of Pell Grants by Dependency Status and Income, 1995-96

	Recipients	Awards	Average Award
Dependent	41.5%	42.5%	$1,554
$6,000 and under	14.6	17.6	$1,867
$6,001 - $9,000	8.9	10.8	$1,882
$9,001 - $15,000	18.2	21.5	$1,839
$15,001 - $20,000	16.4	17.8	$1,687
$20,001 - $30,000	26.3	22.9	$1,354
$30,000+	15.5	9.3	$931
Independent	58.5	57.5	$1,487
$6,000 and under	44.4	49.7	$1,667
$6,001 - $9,000	16.6	14.3	$1,286
$9,001 - $15,000	14.6	15.4	$1,567
$15,001 - $20,000	9.2	9.5	$1,540
$20,001 - $30,000	11.4	9.1	$1,192
$30,000+	3.9	1.9	$735

Source: V.1

Pell Grant Performance Measures — DRAFT — March 10, 1997

Goal:	**To assist financially needy undergraduate students meet their postsecondary education costs.**		
Objective	**Indicators**	**Source and Next Update**	**Strategies**
Recipients			
1. **Provide continued access to low income strata students.**	1.1 Student income distribution. Pell grant funds will continue to be targeted to those students with the greatest financial need. At least 75% of Pell Grant funds will go to students below 150% of poverty level. *Currently 76% of Pell Grant funds do so.*	1.1 Program data, annual, 1997	• **OPE will help to assure that the maximum Pell award is high enough so that the Pell Grant, along with other financial aid, will ensure access for all eligible recipients. In addition, we expect that our reauthorization proposals will address effective targeting.**
2. **Maintain a high level of recipient satisfaction.**	2.1 Overall satisfaction with Pell Grant Program. Satisfaction will show continuous improvement over time. *Baseline measure will be established via initial survey.*	2.1 Office of Postsecondary Education (OPE)/Office of the Under Secretary's Planning and Evaluation Service (PES) student aid applicant survey, annual, 1997	• **Establish a "backup" processing system that will eliminate the possibility of any major delays in application processing.** • **Improved monitoring of the Central Processing System and Public Inquiry Contract to help assure reasonable turnaround time in application processing and better communications with recipients.**
Institutions			
3. **To streamline delivery of funds to institutions and return high quality data to the Department.**	3.1 To continue to reduce the transaction turnaround time. Decrease the current transaction turnaround time through implementation of the just-in- time delivery system. *Current turnaround is 7-10 days.*	3.1 Program data, annual, 1997	• Publication of the "just-in-time" payment regulations will serve to streamline delivery of funds. • Elimination of the paper Financial Aid Transcripts as well as implementation of the "just-in-time" delivery system, should increase school satisfaction.
4. **Maintain a high level of institutional satisfaction.**	4.1 Overall satisfaction with the Pell Grant Program. Institutions have a high degree of satisfaction with the delivery of the program. *Initial survey will establish baseline satisfaction rate.*	4.1 Survey, annual, 1997	

Pell Grant Performance Measures — DRAFT — March 10, 1997

Goal: **To assist financially needy undergraduate students meet their postsecondary education costs.**

Objective	Indicators	Source and Next Update	Strategies
Taxpayers			
5. Provide a program that is cost-effective for the taxpayer.	5.1 Contractor performance. All major deliverables will meet established quality standards and be produced on time and within cost. *Prototype contractor report is under development.*	5.1 Evaluation by CPO and COTR, monthly, 1997	● Incorporation of performance based provisions in the major Pell contracts, as the procurements come up for recompetition, will make the program more cost-effective for the taxpayer.
6. Provide strong fiscal management of the program.	6.1 Positive audits results, (no material internal control weaknesses for the Pell Grant Program). No material internal control weaknesses identified in the Pell Grant portion of ED's Department-wide financial statement audit. *No material weaknesses were identified as a result of the most recent financial statement audit.*	6.1 Financial program audits, annual, 1997	● Enhancements to data through our Data Quality Plan as well as increased automation of financial reporting through the EDCAPS system will improve the fiscal management of the program.

C. Program Performance—Indicators Impact and Effectiveness

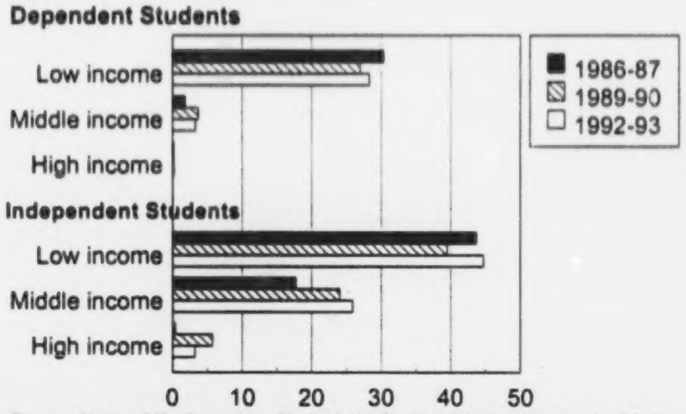
Please see also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

As already stated, a key policy objective of the Federal Pell Grant program is to provide access to postsecondary education for low-income students. Data presented in Table 2 and in the program performance measures indicate that Pell funds are well targeted on low-income students. Another indicator of the effect of the program on access is to assess the ability of Pell Grants to keep college affordable for low-income students. Comparing the maximum Pell Grant award to tuition and fees suggests that the effect of the program on promoting access among low income students has decreased over time. In 1986-87, the maximum Pell Grant award was 63 percent higher than average tuition at public four-year colleges. By 1995-96, the maximum Pell Grant award represented 82 percent of average tuition at public four-year colleges (V.3).

Looking at aggregate trends, however, can fail to capture what is happening to individual students. Figure 2 uses data on the experiences of a sample of students to analyze the purchasing power of the Pell Grant in recent years in terms of the percentage of tuition met by the Pell Grant program. Figure 2 reveals little if any erosion in the extent to which Pell Grants helped low-income students meet tuition between 1986-87 and 1992-93:

- Among low-income dependent students, Pell Grants met 30 percent of tuition charges in 1986-87 and 28 percent in 1992-93.
- Pell Grants met 44 percent of tuition for independent low-income students in 1986-87 and 45 percent in 1992-93 after falling below 40 percent in 1989-90.

Figure 2
Proportion of Tuition Met by Pell Grants



Source: National Postscondary Student Aid Studies: fall enrollment only. (V.4)
Note: Sum of Pell Grants, including non-recipients, divided by sum of tuition.
Income divided by quartiles, with the two middle quartiles combined.

- For independent middle-income students, Pell grants actually met a higher percentage of tuition in 1992-93 (26 percent) than in 1986-87 (18 percent). Figure 2 is somewhat surprising given that, as already described, the maximum Pell Grant award has not kept pace with tuition during this period. The reason that Pell Grants maintained their purchasing power during the period was that the percentage of the population who received awards increased (V.4):

- In 1986-87, 41 percent of dependent low-income students received a Pell Grant; in 1992-93 this figure had increased to 53 percent.

- Among low- and middle-income independent students, the increase in participation was even greater--from 44 percent to 67 percent for low-income students and from 18 percent to 29 percent for middle-income independents.

IV. Planned Studies

A survey of a representative sample of Pell Grant applicants is in progress. The survey is designed to measure customer satisfaction with the federal application process, as well as to identify ways of improving the delivery of federal student aid. Survey findings should be available in the fall of 1997.

In addition, a study (V.5) was recently released analyzing the effects of the changes made to the federal formula for calculating students' financial need in the 1992 Amendments to the Higher Education Act (HEA). The report explores two main issues. First, it assessed changes in students' expected family contribution (EFC) caused by the 1992 HEA Amendments as well as changes in students' circumstances. It used a merged sample of applicants who applied for Title IV aid before (1992-93) and after (1993-94) the HEA amendments took effect. Second, it analyzed behavioral responses to the changes in the analysis of need, using the merged applicant file and a survey of 1992-93 Pell Grant recipients conducted in 1995.

The major findings of the report are as follows:

- The changes made to the need analysis formula in the 1992 HEA affected the majority of students with more students losing eligibility (EFC increases) than gaining eligibility (EFC decreases). Independent students without dependents were the hardest hit; the rules changes increased the EFC for 60 percent of these students.

- The changes in the rules caused much more significant EFC changes than did changes in students' personal circumstances. However, changes in personal circumstances did tend to ameliorate the effect of the changes in the rules, decreasing EFCs for students whose EFCs increased as a result of the rules changes and increasing EFCs for students whose EFCs decreased as a result of the rules change. This offsetting effect was strongest for students who had zero EFC in 1992-93 and who were dependent students or independent students with their own dependents.

- In general, students' probability of reapplying for aid was not related to the rules changes. The only statistically significant result was that among students whose first choice of school was a four-year institution, the probability of reapplication decreased by 1 percent for applicants who experienced an increase in their EFC of more than $500.

- **In sum, the survey of Pell Grant recipients revealed the changes in the need analysis rules had little, if any, effect on students' educational behavior, such as reenrollment and school choice**. Analysis of questions regarding students' reenrollment, school choice, degree aspirations, receipt of financial aid, and employment revealed no statistically significant difference between students whose EFC increased by more than $500 as a result of the rules changes and other students. The one exception was in terms of enrollment status; among students whose EFC increased, only 3 percent increased their intensity of enrollment, whereas 10 percent of other students did so.

  One possible explanation for the lack of a significant relationship between EFC increases and changes in students' educational behavior is that postsecondary institutions may have adjusted their financial aid packages to compensate for the changes in the federal need analysis rules. Unfortunately, it was beyond the scope of this study to collect the institutional financial aid data that would be needed to adequately test this hypothesis.

Another study regarding the use of Pell Grants will be released shortly. This study surveyed a representative sample of 1993-94 financially eligible Pell Grant applicants who did not receive awards (eligible nonrecipients) concerning their educational decisions as well as the reasons they did not receive a Pell award. A major finding was that approximately one-half of the 26 percent of eligible nonrecipients enrolled in a postsecondary institution even without the Pell award. Approximately one-third of the enrolled students were told by their financial aid office that they were ineligible to receive a Pell award because they did not meet one of the nonfinancial eligibility requirements. Another one-third of the eligible nonrecipients who attended college did not know why they had not received an award. A few of the eligible nonrecipients who attended college (less than 10 percent) indicated that one of the reasons they had not received an award was that the application and delivery process was too burdensome. The main reasons given for not attending college by the one-half of eligible nonrecipients who did not enroll were a lack of money (31 percent) and a decision to take a job (23 percent).

V. Sources of Information

1. Pell Grant End-of-Year Report, 1983-84 to 1995-96, Policy, Planning, and Innovation, Office of Postsecondary Education, U.S. Department of Education.

2. Institutional Agreement and Authorization Reports, 1983-84 to 1995-96, Accounting and Financial Management Service, Office of Postsecondary Education, U.S. Department of Education.

3. Trends in Student Aid: 1986 to 1996 (The College Board, September 1996).

4. National Postsecondary Student Aid Study, 1987, 1990 and 1993, National Center for Education Statistics, U.S. Department of Education.

5. The Effects of the 1992 Higher Education Amendments: Evidence from Pell Program Data and a Survey of Pell Grant Recipients Westat, Inc., June 1997.

VI. Contacts for Further Information

Program Policy:	Fred Sellers, (202) 708-4607
Program Analysis:	Steve Carter, (202) 708-4893
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Federal Family Education Loan Program
(CFDA No. 84.032)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV-B, as amended by P.L. 103-66 (20 U.S.C. 1071-1087-2) (expires September 30, 1997). The General Education Provisions Act (GEPA) extends the program for an additional year.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$10,000,000	1987	$2,717,000,000
1970	74,726,000	1988	2,565,000,000
1975	580,000,000	1989	4,284,695,000
1980	1,609,344,000	1990	5,206,552,000
1981	2,535,470,000	1991	5,406,152,000
1982	3,073,846,000	1992	7,595,631,000
1983	3,100,500,000	1993	5,825,338,000
1984	2,256,500,000	1994	163,461,000 1/
1985	3,799,823,000	1995	4,561,331,000
1986	3,265,941,000	1996	4,728,978,000

1/ After subtracting a payment of $4.79 billion made by the Student Loan Marketing Association to the Department to extinguish previous indebtedness.

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to help financially needy undergraduate and graduate students meet the costs of their education at participating postsecondary institutions by encouraging private lenders to provide federally subsidized and insured long-term loans to students and their parents.

B. Strategies to Achieve the Goals

Services Supported

The Federal Family Education Loan Program (FFEL) has four components: the Federal Stafford Loan program, the Federal Unsubsidized Stafford Loan program, the Federal PLUS program, and the Federal Consolidation Loan program. Subsidized federal Stafford loans provide federal reinsurance and interest subsidies on loans for eligible undergraduate, graduate, and professional students. Unsubsidized Stafford loans provide reinsurance on loans for graduate and professional students, as well as independent undergraduates. PLUS loans provide federal reinsurance on loans to parents of dependent undergraduates to help them meet their dependents' cost of education. Consolidation loans allow a borrower to consolidate multiple student loans into a single loan during repayment.

FFELs are available to help students who attend participating postsecondary institutions and meet the applicable eligibility criteria. A student receiving a subsidized Stafford loan must demonstrate financial need based on the cost of education and the ability of the student or the student's family to pay this cost. Need is calculated in accordance with a congressionally specified formula that analyzes the financial data of the student or the student's family. Unsubsidized SLS and PLUS loans are not need based and may be used to offset the student or parent borrower's expected contributions toward the cost of education.

In FY 1996 the amount of loans guaranteed by the FFEL programs was $19.7 billion; there were approximately 4.4 million individual borrowers. Comparable figures for FY 1982 were $6.2 billion in loans and 2.8 million individual borrowers.

Table 1 shows the number of loans and the loan amount for the three individual FFEL components in FY 1996.

Table 1

FFELs Loans, by Program Components
FY 1996

	Number ('000s)	Percent	Amount ('000,000s)	Percent of Total
Subsidized Stafford	3,288	61.6	$11,501	58.3
Unsubsidized Stafford	1,769	33.2	6,568	33.3
PLUS	279	5.2	1,658	8.4
Total	5,336	100.0%	$19,727	100.0%

Source: V.1. (Based on loan commitments)

Table 2 provides details on the sector distribution of FFEL loans.

Table 2

FFEL Loans by Type and Control FY 1996

Type of Institution	Number of borrowers ('000's)	Percent of loans	Amount of loans ('000,000s)	Percent of Total
Public, 4-Year	1,625	37.2	$7,161	36.3
Public, 2-Year	472	10.8	1,243	6.3
Private, 4-Year	1,516	34.7	8,759	44.4
Private, 2-Year	100	2.3	375	1.9
Private, for-profit	660	15.1	2,190	11.1
Total	4,373	100.1	$19,728	100.0%

Source: V.1

As shown in Table 2, the largest proportion of FFEL loan funds (44 percent) went to borrowers attending four-year private institutions. Borrowers attending proprietary institutions received 11 percent of the loans committed under FFEL.

Table 3 shows the distribution of Stafford loans by the family income and dependency status of the student for the 1995-96 academic year:

Table 3

Distribution of FFEL, by Income and Dependency Status, 1995 - 96 Academic Year

	Dependent students		Independent students		All students	
Family income	Percent of loans	Average loan	Percent of loans	Average loan	Percent of loans	Average loan
Under $15,000	12.7	$3,019	59.1	$5,955	35.7	$5,428
$15,001 - $30,000	21.3	3,285	23.6	5,739	22.4	4,564
$30,000 - $60,000	39.7	3,327	14.3	6,717	27.2	4,214
More than $60,000	26.3	3,559	3.0	7,641	14.7	3,972
Total FFELP	100.0%	$3,332	100.0%	$6,010	100.0%	$4,690

Source: V.1

The Federal Family Education Loan program makes available below-market, variable-interest-rate, long-term loans to help students attend participating postsecondary schools.

Table 4 shows the applicable interest rate for the various FFEL components.

Table 4
Interest Rates by Academic Year and Program Component

Type of loan	Loans made on or after July 1, 1994	Loans made on or after July 1, 1995	Loans made on or after July 1, 1998
Stafford and Unsubsidized Stafford	91-day Treasury bill rate +3.1%, not to exceed 8.25%	91-day Treasury bill rate +2.5%, during in- school, grace, or deferment periods, but T-bill rate remains +3.1% during repayment; not to exceed 8.25%	Bond equivalent rate of securities with comparable maturity +1.0%, not to exceed 8.25%
PLUS	52-week Treasury bill rate +3.1%, not to exceed 9%	52-week Treasury bill rate +3.1%, not to exceed 9%	Bond equivalent rate of securities with comparable maturity +2.1%, not to exceed 9%
FFEL Consolidation Loans	Weighted average of the interest rates on the consolidated loans, rounded up to the nearest whole percent	Weighted average of the interest rates on the consolidated loans, rounded up to the nearest whole percent	Weighted average of the interest rates on the consolidated loans, rounded up to the nearest whole percent

Note: All interest rates on new loans are variable, recalculated annually and adjusted each July 1.

The program uses private loan capital supplied primarily by commercial lenders. To offset the below-market interest rate they charge for a Stafford Loan, lenders receive interest subsidies and special allowance payments when applicable on eligible Stafford loans. Lenders do not receive interest benefits for unsubsidized Stafford or PLUS loans but may receive special allowance payments if the variable rate exceeds the applicable cap. Borrowers generally have a maximum of 10 years to repay an FFEL loan, but may receive periods of deferment or forbearance and income-sensitive or graduated-repayment options.

These loans are guaranteed by individual state or private, nonprofit guaranty agencies and are reinsured by the federal government. Since FY 1994 an administrative cost allowance (ACA) has been paid out of Direct Loan transition costs and is no longer part of the FFEL account. Also, the reinsurance fees previously paid by guaranty agencies have been eliminated.

Maximum Loan Limits

Table 5 shows the FFEL loan maximums by dependency status and academic level.

Table 5: FFEL Loan Maximums

	Annual limits	
Dependent undergraduates	Subsidized	Total (Subsidized & Unsubsidized)
1st year student	$2,625	$2,625
2nd year student	$3,500	$3,500
3rd year+ student	$5,500	$5,500
Independent undergraduates		
1st year student	$2,625	$6,625
2nd year student	$3,500	$7,500
3rd year+ student	$5,500	$10,500
Graduate Students	$8,500	$18,500
	Aggregate limits	
Dependent undergraduates	$23,000	$23,000
Independent Undergraduates	$23,000	$46,000
Graduate Students	$65,500	$138,500

Borrower Default Rates

Table 6 shows the borrower cohort default rates For FFEL loans from FY 1989 through FY 1994, the most recent year available. Default rates vary by the type and control of institution attended. The FY 1994 cohort contains all borrowers who entered repayment status in FY 1994. The FY 1994 cohort default rate is the percentage of this cohort that defaulted in FY 1994 or FY 1995.

Table 6: Borrower Cohort Default Rates for Federal Family Education Loans:(FY 1989-1994)

Type of institution attended by borrowers	1989	1990	1991	1992	1993	1994
Public, 4-year	6.2%	7.0%	6.5%	7.0%	6.9%	6.8%
Public, 2-year	16.0	17.2	14.7	14.5	14.5	13.8
Private, 4-year	6.1	6.5	5.7	6.4	6.2	6.3
Private, 2-year	15.6	18.5	15.5	14.3	13.5	13.5
Private, for-profit	35.5	14.2	19.9	30.2	23.9	21.0
Average	21.4%	22.4%	17.8%	15.0%	11.6%	10.7%

Source: V.1

Strategic Initiatives

Following are some of the initiatives undertaken the Department to improve the operation and the management of the FFEL program.

Loan Servicing and Default Collection

The Department of Education has made a commitment to improve services to students and postsecondary institutions through better management of student financial aid programs in a number of key areas. For example, the Department has transformed its loan servicing and collection efforts. Between 1993 and 1996, the Department doubled the amount of defaulted loans collected each year, to $2.5 billion.

Reengineered Institutional Oversight to Remove Ineffective Schools

The Department also has refocused its oversight of the postsecondary institutions that participate in the student financial aid programs. At the heart of this effort is the reorganization of the Office of Postsecondary Education's Institutional Participation and Oversight Service (IPOS) into regional case management divisions. These divisions are responsible for all core oversight functions for their respective portfolio of schools. The reorganization will allow the Department to monitor schools' compliance with requirements of the student financial aid programs more efficiently while easing the administrative burden on schools.

As a result of the Department's efforts to target its monitoring resources on schools that pose the greatest risk to students and taxpayer funds, a total of 672 institutions have lost eligibility to participate in Title IV programs; 381 institutions were terminated from all Title IV programs for poor performance and 291 institutions lost their eligibility to participate in the student aid programs through the ongoing recertification process. In addition, 203 institutions are no longer eligible to participate in the loan programs because of high default rates. These aggressive accountability and oversight efforts remove ineffective schools from the student financial aid programs, both protecting students and ensuring accountability for taxpayer funds.

Cutting Red Tape--Experimental Sites

The Department also has made a concerted effort to reduce the administrative burden on institutions. Under the Department's Experimental Sites initiative, more than 600 experiments have been approved at 135 higher education institutions. These projects exempt schools from certain regulatory and statutory requirements so that they can innovate to better meet their students' needs without sacrificing accountability. These experiments reduce the burden on participating schools; moreover, the results will be used to evaluate how the Department might monitor institutions of higher education more flexibly in the future.

Improving Systems for Greater Efficiency and Accountability

The Department's use of the latest technology further improves services for students and schools in the federal financial aid programs. The National Student Loan Data System (NSLDS) provides schools and the Department with information in an electronic format on student aid recipients. This system which is in the final stages of implementation, makes the job of the schools easier and helps to prevent fraud, waste, and abuse in the programs. Institutions also receive free EDExpress software that allows them to administer the delivery of student aid electronically. The new technology also benefits students, who now can apply for financial aid using Free Application for Federal Student Aid (FAFSA) Express software.

The Omnibus Budget Reconciliation Act of 1993 incorporated many provisions to improve management of the FFEL program:

- Authority to direct a guaranty agency to promptly assign defaulted loans when it is determined that such action will protect the federal financial interest;

- Broad authority to preserve or recover guaranty reserves where there has been misuse or improper expenditure of reserve funds. The Secretary also has the authority to require a guaranty agency to return any portion of an agency's reserve fund that the Secretary determines is unnecessary for paying the program expenses and contingent liabilities of the agency.

- Authority to terminate a guaranty agency's reinsurance agreement if the Secretary determines that such action best protects the federal fiscal interest.
- Authority to make emergency advances to guaranty agencies to meet their immediate cash needs, including uninterrupted payment of claim to lenders, as well as to help them fulfill their lender-of-last-resort obligations.
- A variety of revenue-sharing and risk-sharing provisions including loan fees from lenders and from Sallie Mae, reduced reinsurance payments to guaranty agencies, and a fee to be paid by states whose schools have default rates exceeding 20 percent.

The Department also published a booklet, Reducing Student Loan Defaults: A Plan for Action which describes the rising cost of defaults, the types of students that default, and the most common reasons for default. It also recommends steps that postsecondary institutions, lenders, guarantee agencies, accrediting agencies, states, and the federal government can take to reduce defaults. The booklet recommends that (V.2):

- Schools counsel all students on their loan responsibilities, work closely with lenders to reduce defaults, improve the quality of their education, and establish good job placement programs;

- Lenders communicate effectively with student borrowers during all phases of the loan process, use effective collection techniques, and carefully monitor organizations that service FFEL Loans;

- State guaranty agencies monitor lenders and postsecondary institutions and help enforce program laws and regulations, help institutions in their default reduction efforts, help lenders collect repayments before loans default, and diligently pursue collections of loans that default.

C. Program Performance--Indicators of Impact and Effectiveness

A frequently used method of measuring the effects of the student aid programs--including loans--is to compare graduation and persistence rates of financial aid recipients with those of nonrecipients. Data from the 1994 Beginning Postsecondary Students survey (Source V.3), based on surveys in April 1994, of students who had entered postsecondary education in July 1989, show that lower-income Stafford Loan recipients in 4-year public institutions obtained bachelor degrees at rates that were higher than or similar to those of nonrecipient higher-income students. Specifically:

- Students with family's incomes below $20,000 who received a Stafford loan obtained a bachelor degree at rates similar to those for nonrecipient students with family incomes between $20,000 and $50,000.
- Students with family incomes between $20,000 and $50,000 who received a Stafford loan obtained a bachelor degree at a rate similar to nonrecipient students with family incomes $50,000 or higher.
- In addition, students who began postsecondary education in 1989 and received any loan were more likely to have obtained a degree by 1994 than were those who did not borrow--63.5 percent vs. 43.5 percent.

The Department has also published a draft Performance Plan for the FFEL program that is presented in the following pages.

Please see also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

Education Loan Program (FFEL)

Goal: **To successfully deliver and manage the FFFL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**

Objectives	Indicators	Source and Next Update	Strategies
Borrowers			
1. **Undertake initiatives to keep default rate at a minimum.**	1.1 **Borrower-level default rate.** FFEL cohort default rate will continue to decline until it reaches a rate of at least 10%, (rate to be compared, if possible, to other relatively similar government and consumer loans). *For FY 1990 - 1994, the rates were 22.4%, 17.8%, 15.0%,, 11.6%, and 10.7 respectively, dropping by more than 52% over the five year period.*	1.1 Office of Postsecondary Education (OPE) data, annual, 1997	• The President's FY 1998 Budget includes provisions designed to place more emphasis on preventing student loan defaults by making it economically attractive for lenders and guaranty agencies to prevent default instead of collecting after the default. The proposals include: increasing lender risk-sharing from 2% to 5%; requiring lenders to request preclaim assistance from guaranty agencies on seriously delinquent loans and requiring the lenders to pay the guarantee agencies a fee ($100 is being considered) for each account the agencies bring current; reducing the percentage of default collections that a guarantee agency may retain from the current 27% to no more than 18.5% (the Department will attempt to negotiate the fee with each guarantee agency at an amount no greater than the agency would have received had it been successful in preventing the default).

Education Loan Program (FFEL)

Goal: **To successfully deliver and manage the FFEL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**

Objectives	Indicators	Source and Next Update	Strategies
			And, to minimize our loss on defaults OPE is seeking to obtain new authorities including the authority to (1) access data on employment from the states, (2) insure that states offset their employees salaries upon ED's request, and (3) access data from state licensing agencies.In addition, we are disseminating information to students on the cost of defaulting.
2. Maintain a high level of borrower satisfaction from the time of loan origination through the end of the repayment period	**2.1 Overall satisfaction with the FFEL Program.** FFEL borrower satisfaction will continue to improve until at least a 90% level is achieved. *Current baseline of overall satisfaction to be determined, but one measure of satisfaction with the loan process - "overall level of ease in obtaining a loan" - shows that 84% of FFEL student borrowers found the process to be somewhat or very easy. Plans for assessing satisfaction during repayment period are under development.*	2.1 Program evaluation, Macro, Inc., 1997	• Continuous service improvements by lenders and guaranty agencies will occur as a consequence of Direct Loan competition. • We anticipate that the expansion of the "common line" electronic application process, currently in development, will reduce borrower burden and application turnaround time.

Schools, lenders, guaranty agencies

Education Loan Program (FFEL)			
Goal: **To successfully deliver and manage the FFEL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
3. **Ensure access to FFEL loans in a changing marketplace.**	3.1 **Continued access to FFEL loans.** No eligible student will be denied access to a loan. *We are not aware of any current problems with eligible student access to loans.*	3.1 Borrower complaint data (GLOS), ongoing, 1997	• We have worked with the lender and guaranty agency community to resolve past access shortages. We are not aware of any shortages that now exist. However, we will continue to consult with the community and take quick action to resolve any access problems that may arise.
4. **Maintain a high level of school satisfaction.**	4.1 **Overall satisfaction with the FFEL Program.** Level of satisfaction will meet or exceed the level of school satisfaction measured last year. *67% of schools reported satisfaction* last year.	4.1 Program evaluation, Macro, 1997	• Enhancements to NSLDS will improve schools' ability to access borrower records and reduce burden. The elimination of both the Financial Aid Transcripts and the paper-based student status confirmation reporting process should increase school satisfaction.

Education Loan Program (FFEL)			
Goal: To successfully deliver and manage the FFEL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
Effective program management			
5. Provide a program that is cost-effective for the taxpayer.	**NOTE: OPE will closely monitor each of the default, delinquency, and collection rates, while striving toward continuous improvement. Any adverse trends will be carefully analyzed for development of appropriate management corrective action.**		• As stated under the first "Borrower" objective, the President's FY 1998 Budget includes provisions designed to place more emphasis on preventing student loan defaults by making it economically attractive for lenders and guaranty agencies to prevent default instead of collecting after the default. Also, to minimize our loss on defaults, DCS is seeking to obtain many new authorities, including the authority to (1) access data on employment from the states, (2) insure that states offset the salaries of their employees upon ED's request, and (3) access data from state licensing agencies. • As major procurements come up for recompetition, we will be moving toward performance-based contracting. • Our commitment to reducing the per unit costs of NSLDS as well as the aforementioned movement toward performance-based contracting will result in reduced administrative costs.
	5.1 Gross default rate. The lifetime gross dollar cohort default rate projects future defaults over the life of a loan cohort. *The rates, for the FY '92-'96 cohorts are currently estimated at 18.9%, 18.1%, 17.5%, 17.4%, and 17.1%, respectively.*	5.1 Office of the Under Secretary, Budget Service, annual, 1997	
	5.2 Loss rate. The loss rate (lifetime net default rate), projects the overall rate of the Department's liability for a cohort of defaulted loans after taking into account collections on defaulted loans. *The rates for the FY '92-'96 cohorts are currently estimated at 8.3%, 7.9%, 7.7%, 7.6%, and 7.5% respectively.*	5.2 Budget Service, annual, 1997	
	5.3 Annual delinquency rate. The delinquency rate will measure the dollar amount of loans "past due" as a percentage of dollars in repayment. *The baseline is being developed as the definition of "past due" is being finalized.*	5.3 OPE data, annual, 1997	

Education Loan Program (FFEL)

Goal: **To successfully deliver and manage the FFEL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**

Objectives	Indicators	Source and Next Update	Strategies
	5.4 Annual collection rate. The annual collection rate is a measurement of annual net default dollars collected divided by dollars in default. *This rate, as of 9/30/96, is 9.2%, reflecting total collections of over $2.2 billion compared to total amount owed of nearly $24.2 billion. The rate has been regularly improving since 1992. For FY 1992 -1996, the rates were 7.1%, 6.9%, 8.2%, 8.9%, and 9.2%, respectively.*	5.4 OPE data, quarterly, 1997	
	5.5 Administrative cost. On a per unit basis, administrative costs will be benchmarked against other comparable programs, e.g. Sallie Mae. *Baseline under development*	5.5 OPE/Budget Service, annual, 1997	
	5.6 Contractor performance. All major deliverables will be produced on time, within cost or budget, and meet an independent assessment of quality. *Prototype contractor report is under development*	5.6 Evaluation by OPE's contract monitor, monthly (exceptions reporting on deliverables & $s), 1997	
6. Ensure a higher integrity National Student Loan Data System (NSLDS) and guarantor and lender reporting systems.	**6.1 Data quality.** High quality data, including reliability of data provided by Guaranty Agencies (GAs) and institutions to the NSLDS and data reported by lenders and GAs for ED reporting systems. *Baselines for data-quality are under development.*	6.1 Analysis of NSLDS and other systems, ongoing (Error rates will be compared with the "to be developed" baseline), 1997	• An NSLDS data integrity plan is under development. Adherence to this plan is expected to increase data quality considerably. Also, the guaranty agencies have recently pledged their support by making their partnership with OPE in resolving NSLDS data problems a high priority.

Education Loan Program (FFEL)			
Goal: To successfully deliver and manage the FFEL Program in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.			
Objectives	**Indicators**	**Source and Next Update**	**Strategies**
7. **Provide fiscal management of the FFEL Program of the highest quality.**	7.1 **FFEL financial statements.** No material internal control weaknesses identified in the FFEL portion of ED's department-wide financial statement audit (fault free audit). *Three material internal control weaknesses were cited in the FFEL portion of ED's 1995 department-wide financial statement audit.*	7.1 Financial statement audits, annual, 1997	• Audit quality should be improved by taking a closer look at third party audits. Work with ED's Office of the Inspector General (OIG) to assure that all audits are conducted in accordance with auditing standards. • We will also work with OIG and OMB to refine our audit guidance so that program specific information may be obtained This will enhance OPE's ability to monitor ED's funds and assets and will improve the Departmental Financial Statement.
	7.2 **Lender and guaranty agency audit results.** The percent of lenders and guaranty agencies that are found to be in compliance in all significant program areas will approach 100%. *Baseline is under development.*	7.2 Lender and guaranty agency audits, annual, 1997	
	7.3 **Strengthening quality of audits.** Assessments of guaranty agency and lender audits will show steadily improved quality over time. *Baseline is under development.*	7.3 OIG, ongoing, 1997	

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. Reducing Student Loan Defaults: A Plan for Action (Washington DC: U.S. Department of Education, August 1990).
3. National Postsecondary Student Aid Study 1989-90; 1992-93; & 1995-96 school year. Data Files. (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1991; 1994; & 1996.)

VI. Contacts for Further Information

Program Operations:	Donald Conner (202) 708-9069
Program Studies:	Dan Morrissey, (202) 401-0182

Federal Direct Student Loan Program
(CFDA No. 84.268)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part D, as amended (20 U.S.C. 11087a-1087h) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1993	0
1994	$55,726,000
1995	821,656,000
1996	243,720,000

III. Analysis of Program Performance

A. Goals and Objectives

The William D. Ford Federal Direct Student Loan Program (FDSLP) makes below-market, variable-interest rate, long-term loans to students attending postsecondary schools. In this program the government provides the loan funds directly to borrowers. This is different from the Federal Family Education Loan Program (FFELP) in which the government guarantees (insures) loans administered by lenders and state guarantee agencies.

The program was initially authorized as a demonstration pilot by the Higher Education Amendments of 1992. The Student Loan Reform Act of 1993, a part of the Omnibus Budget Reconciliation Act of 1993, authorized that the program be implemented on a phased-in basis.

Such a phase-in, according to the legislation, would be based on the total volume of new student loans; 5 percent in the first year, academic year 1994–95; 40 percent in the second year, 1995–96; 50 percent in the third and fourth years, 1996–97 and 1997–98; and 60 percent in the fifth year, 1998–99. After the 1995-96 year, the percentage of new student loans may increase if institutional demand for participation increases.

The Direct Loan Program is intended to remedy many of the problems that have developed in the past 25 years with the existing Federal Family Education Loan Program, primarily its complexity for schools and borrowers and its cost to the taxpayer. Students complete only one application, the Free Application for Federal Student Aid (FAFSA). There is no separate loan application to a bank. The school determines how much a student will need to borrow and electronically transmits all the required loan information to the Department of Education's servicing contractor. When the loan is approved, the student simply signs a promissory note and the school credits the student's tuition account.

Students benefit by receiving their loan funds much more quickly and by knowing whom to contact for information. Schools benefit by gaining greater control over the loan process; they receive the loan funds electronically and receive tuition payments faster, thereby improving their cash flow.

In the first year of the program (1994–95), 104 institutions participated. In the second year (1995–96), 1,147 institutions participated (Source III.1).

B. Strategies to Achieve the Goals

Services Supported

There are four kinds of Direct Loans:

- **Federal Direct Stafford/Ford Loans** also called Direct Subsidized Loans. Students must demonstrate financial need to receive this type of loan. (The school determines financial need based on the information provided on a financial aid application.) The federal government pays the interest on these loans while students are in school at least half time and during certain periods, such as grace and deferment (a postponement of repayment).

- **Federal Direct Unsubsidized Stafford/Ford Loans** also called Direct Unsubsidized Loans. Students can get these loans regardless of financial need, but have to pay all interest charges.

- **Federal Direct PLUS Loans** for parents of dependent students to pay for their children's education. Parents are responsible for all interest charges.

- **Federal Direct Consolidation Loans** are one or more federal education loans combined into one new Direct Loan. One monthly payment is made only to the U.S. Department of Education. In certain circumstances, students who have loans under the FFEL Program may consolidate them into Direct Loans. Even defaulted loans may be consolidated if borrowers agree to repay the loan under the Income Contingent Repayment Plan or make other satisfactory arrangements to repay the loan.

Direct Loan interest rates are variable, and they are adjusted each year on July 1. The maximum interest rate for Direct Subsidized and Unsubsidized Loans is 8.25 percent; in 1995–96 the interest rate was 8.25 percent. For Direct PLUS Loans, the maximum interest rate is 9 percent; in 1995–96 the interest rate was 8.98 percent.

Institutional Participation

Table 1

Institutional Participation in Direct Loan Program, Award Year 1995–1996 (excluding consolidation loans)

Type of Institution	Number	Percentage of FDLP institutions	FDLP loans (millions)	Volume
Public 4-year	219	19%	$4,952	67%
Private 4-year	201	18	1,745	24
Public and Private 2-year	164	14	313	4
Proprietary	563	49	409	5
Total	**1,147**	**100%**	**$7,419**	**100%**

Source: III.1

Although table 1 shows that fewer four-year institutions than proprietary schools are participating in the FDSLP, public four-year institutions accounted for the largest share of loan volume at FDLP institutions.

Student Borrowing

The maximum amount a student can borrow each year for Direct Subsidized and Direct Unsubsidized Loans is:

	Dependent Student*	Independent Student**
1st-year undergraduate	$2,625	$ 6,625
2nd-year undergraduate	3,500	7,500
3rd-year under graduate	5,500	10,500 graduate/professional
4th year undergraduate	NA	18,500

*A dependent student is one who does not meet any of the criteria for an independent student.

**An independent student is one who falls into at least one of the following categories: a student who is at least 24 years old, a married student, a graduate or professional student, a veteran, an orphan, a ward of the court, or a student with legal dependents other than a spouse.

The amount a student can borrow is also limited by the student's school costs, other financial aid the student may receive, and (in the case of Direct Subsidized Loans), the student's Estimated Financial Contribution. The overall limits for all subsidized and unsubsidized loans (including a combination of FFEL and Direct Loans) are as follows:

- $23,000 for a dependent undergraduate student,

- $46,000 for an independent undergraduate student, and
- $138,500 for a graduate or professional student (including loans for undergraduate study).

The parent of a dependent student can borrow up to the cost of the student's education minus other financial aid the student receives.

Note: All Direct Loans except Direct Consolidation Loans have an origination fee of 4 percent, which is subtracted proportionately from each loan disbursement. This money goes to the federal government to help reduce the cost of supporting these low-interest loans.

Table 2
Distribution of Borrowers of Direct Loan, 1994-95 and 1995-96

	1994-95	1995-96
Number of student borrowers	285,000	1,370,000
Number of parent borrowers	25,000	111,000
Number of consolidated borrowers	8,000	75,000
Total unduplicated borrowers	**318,000**	**1,556,000**
Number of direct loans	462,000	2,295,000
Loan amount borrowed	$ 1,750,000,000	$8,213,000,000
Average loan	$ 3,788	$ 3,579

Source: III.2

Repayment Plans

A major element of the design of the Direct Loan Program is provision for different repayment plans to meet the needs of borrowers. There are four ways to repay a Direct Subsidized Loan or Direct Unsubsidized Loan. Direct PLUS Loan borrowers may choose from the first three options. Borrowers can choose a plan to fit their financial circumstances and, as mentioned earlier, can change plans if their financial circumstances change.

1. ***Standard Repayment Plan***: This plan requires fixed monthly payments (at least $50) over a fixed period of time (up to 10 years). The length of the repayment period depends on the loan amount. This plan usually results in the lowest total interest paid because the repayment period is shorter than under the other plans.

2. ***Extended Repayment Plan***: This plan allows loan repayment to be extended generally from 12 to 30 years, depending on the total amount borrowed. Borrowers still pay a fixed amount each month (at least $50), but monthly payments usually will be less than under the Standard Repayment Plan.

This plan may make repayment more manageable, but borrowers will pay more interest because the repayment period is longer.

3. ***Graduated Repayment Plan***: This plan allows payments to start out low and increase every two years. This plan may be helpful to borrowers whose incomes are low initially but will increase steadily. A borrower's monthly payments must be at least half of what the borrower would pay under Standard Repayment. As in the Extended Repayment Plan, the repayment period varies generally from 12 to 30 years, depending on the total amount borrowed. Again, monthly payments may be more manageable because they are lower, but borrowers pay more interest because the repayment period is longer.

4. ***Income-Contingent Repayment Plan***: This plan bases monthly payments on the borrower's adjusted gross income (AGI) and the total amount of Direct Loans borrowed. The required monthly payment will not exceed 20 percent of the borrower's discretionary income. Discretionary income equals AGI minus an amount based on the poverty level for family size, as determined by the U.S. Department of Health and Human Services. As the borrower's income rises or falls each year, monthly payments are adjusted accordingly. Borrowers have up to 25 years to repay; after 25 years, any unpaid amount is discharged, but borrowers must pay taxes on the amount discharged.

Table 3

Graduated/Extended Repayment Limits

Amount of Debt	Repayment Period may not Exceed
Less than $10,000	12 years
$10,000-$19,999	15 years
$20,000-$39,999	20 years
$40,000-$59,999	25 years
$60,000 or more	30 years

C. Program Performance—Indicators of Impact and Effectiveness

A survey of Direct Loan institutions reported the following findings (III.3):

- The overall level of schools' satisfaction with the Direct Loan Program among participating institutions was very high. Ninety-two percent of Direct Loan institutions said they were either "*somewhat*" or "very satisfied."

- Improved service to borrowers was the frequently mentioned factor affecting schools' decisions to participate in the Direct Loan Program. This was consistent across all institutional categories. The following factors were most important to institutions in considering whether to apply for the Direct Loan Program:

  -- The ability to serve borrowers better, cited by 88 percent of institutions;

- Institutional control over the loan process, cited by 60 percent of institutions;
- Simplicity of administration, cited by 47 percent of institutions; and
- Predictability of funds, cited by 43 percent of institutions.

- Institutions reported that Direct Loan implementation required a small to moderate level of effort. Institutions rated the ease of the start-up process for the three major organizational units involved in implementation—the financial aid office, the business or bursar's office, and technical or computer support staff. On a five-point scale, with 1 indicating an easy transition and 5 indicating a difficult transition, institutions reported that the start-up activities:

  - Were "relatively easy" for the business office (2.2), and
  - "Required a moderate level of effort" for the financial aid office (2.8) and for the technical support staff (3.0).

Implementation was more difficult for two-year private institutions and for institutions that have multiple campuses, branches, or schools served by separate financial aid offices.

- Improvements were needed in the Direct Loan software (EDExpress) and in training, but schools were very satisfied with the Department of Education's responsiveness and support in implementing the Direct Loan Program.

Institutions were satisfied with the timeliness and usefulness of all Department of Education–provided services and materials for implementing the Direct Loan Program.

Schools rated their satisfaction with the Direct Loan Program on a scale of 1 to 5, with 1 representing the highest level of satisfaction and 5 representing the lowest.

- The overall rating for timeliness of Department of Education services was 1.6.
- The overall rating for usefulness of Department of Education services was 1.4.
- Servicing support received the highest rating of all the services 1.3.

- Institutions very satisfied with the Direct Loan Program tended to be dissatisfied with the Federal Family Education Loan Program.

An inverse relationship was found between high level of satisfaction with the Direct Loan Program and past satisfaction with the Federal Family Education Loan Program.

- Almost half (45 percent) of the survey respondents indicated that they were dissatisfied with the Federal Family Education Loan Program.

- Three of four institutions that indicated they were dissatisfied with the Direct Loan Program were "very satisfied" with the Federal Family Education Loan Program.

A survey of borrowers reported the following findings (III.4):

- Direct Loan borrowers with previous FFEL loans were more likely than FFEL borrowers with previous FFEL loans to cite their 1994–95 loan experience as "more positive" than their prior loan experience.

- The vast majority (over 80 percent) of Title IV borrowers perceived their 1994–95 loan origination process as "very easy" or " somewhat easy". No statistically significant differences were found between the Direct Loan and FFEL programs.

- Borrowers indicated relatively low awareness of the key terms and features of the loan programs. No significant differences in borrower awareness were found between the Direct Loan and FFEL Programs.

Direct Loan Program Performance Measures			
Goal: To successfully implement and manage the Direct Loan Program.			
Objective	**Indicators**	**Source and Next Update**	**Strategies**
Borrowers			
1. **Provide flexible repayment options so that debt burden is eased and defaults are minimized.**	1.1 **Program default rate.** The Direct Loan Program cohort default rate will not exceed 10%, i.e. comparable to FFEL target. Actual direct loan target rate will be established based upon performance trends in this maturing program. (Rates will be compared to other govt. and consumer loans.) *No current baseline available. The FY 1994 cohort default rate contains no direct loans. A minimum of 3 years of rate issuances is needed to determine baseline, as repayment portfolio is still very young and not reflective of total population in a mature portfolio.* 1.2 **Cost of flexible repayment.** Impact will be budget neutral. Flexible repayment, under current credit reform accounting rules, are currently projected to show a cost savings.	1.1 Office of Postsecondary Education (OPE) data, annual, beginning in 1997. 1.2 Office of the Under Secretary's Budget Service, annual, 1997	• On an ongoing basis, monitor various aspects of the repayment options, including debt burden and default rates to assess the benefits of flexible repayment for the borrower and the taxpayer. • To minimize loss on defaults, OPE is seeking to obtain many new authorities to enhance our ability to collect on defaulted loans. These new capabilities we are seeking include the authority to (1) access data on employment from the states, (2) insure that state offset the salaries of their employees upon ED's request, and (3) access data from state licensing agencies.

Direct Loan Program Performance Measures

Goal: To successfully implement and manage the Direct Loan Program.

Objective	Indicators	Source and Next Update	Strategies
2. Maintain a high level of borrower satisfaction.	2.1 **Borrowers' overall satisfaction with Direct Loan Program.** Meet or exceed 1st-year borrower satisfaction levels. Borrower satisfaction will meet or exceed that of FFEL borrowers. *The baseline for overall satisfaction is under development. However, one measure of satisfaction with the direct loan program—"overall level of ease in obtaining a loan"—shows that 85% of direct loan student borrowers found the process to be somewhat or very easy, compared to 84% of FFEL student borrowers. Satisfaction measures related to borrowers in repayment need to be added.*	2.1 Macro, Inc., program evaluation, 1997	• Maintain or increase the current high level of borrower satisfaction; Assure the smooth running of the Direct Loan origination and servicing contracts.
Schools			
3. Continue to provide a streamlined loan delivery system to attract schools to participate.	3.1 **Satisfaction with aid delivery and burden.** The institutional Direct Loan participation rate will meet or exceed 38% for 1997/98, 45% for 1998/99 and 50% for 1999/00 and beyond. *Current Direct Loan participation rate is about 33%.*	3.1 OPE program data, annua, 1997	• **A major key to attracting higher direct loan participation and maintaining their high level of satisfaction is our commitment to enhanced delivery. OPE is committed to continue to improve student aid delivery to achieve totally integrated student financial aid program processes and systems and be responsive to customer needs.**

Direct Loan Program Performance Measures

Goal: **To successfully implement and manage the Direct Loan Program.**

Objective	Indicators	Source and Next Update	Strategies
4. Maintain a high level of school satisfaction.	**4.1 Schools' overall satisfaction with the Direct Loan Program.** Schools will maintain a high level of satisfaction with the program. Level of institutional satisfaction will meet or exceed satisfaction of FFEL institutions. (Will track as a 3-year average.) *In award year 1994-95, 90% of Direct Loan institutions were satisfied or very satisfied compared to 67% of FFEL institutions.* **4.2 Institutional retention rate.** Meet or exceed 95%. *Current retention rate is 99.7%. Last year's rate was 99.0%.*	4.1 Macro, Inc. program evaluation, 1996 4.2 Contractor, annual, 1997	- See previous strategy.
Effective program management			
5. Provide a program that is cost-effective for the taxpayer.	**OPE will closely monitor each of the default, delinquency, and collection rates indicators while striving toward continuous improvement. Any adverse trends will be carefully analyzed for development of appropriate management corrective action.** **5.1 Gross default rate.** The lifetime gross dollar cohort default rate projects future defaults over the life a loan cohort. *The rates for the FY '94-'96 cohorts are currently estimated at 14.3%, 15.3%, and 16.3%, respectively.*	5.1 Budget Service, annual, 1997	- Movement toward performance-based contracting will help to make the program more cost effective. The many default reduction and collection enhancing initiatives should help to contain program costs.

Direct Loan Program Performance Measures			
Goal: **To successfully implement and manage the Direct Loan Program.**			
Objective	**Indicators**	**Source and Next Update**	**Strategies**
	Note: the upward trend in projected rates here (and in loss rates below) is largely a result in a shift in the mix of participating schools. Since the program's initial year, many more proprietary and other higher default rate schools have joined the program. These rate increases were not unexpected. 5.2 **Loss rate**. The loss rate (lifetime net default rate), projects the overall rate of the Department's liability for a cohort of defaulted loans after taking into account collections on defaulted loans. *The rates for the FY '94-'96 cohorts are currently estimated at 6.3%, 6.9%, and 7.4%, respectively* 5.3 **Annual delinquency rate.** The delinquency rate will measure the dollar amount of loans "past due" as a percentage of dollars in repayment. *The baseline is being developed.*	5.2 Budget Service, annual, 1997	

Direct Loan Program Performance Measures

Goal: To successfully implement and manage the Direct Loan Program.

Objective	Indicators	Source and Next Update	Strategies
	5.4 Annual collection rate. The annual collection rate is a measurement of annual net default dollars collected divided by dollars in default. *This rate will be calculated as of 09/30/97. However, the portfolio will not reach sufficient maturity for the rate to be meaningful for the next few years.*	5.4 OPE data, annual, 1997	
	5.5 Administrative cost. On a per unit basis, administrative costs will be benchmarked against other comparable programs, e.g. Sallie Mae. *Baseline under development*	5.5 OPE/Budget Service, annual, 1997	
	5.6 Contractor performance. All major deliverables will be produced on time, within budget, and meet an independent assessment of quality. *Prototype contractor report is under development.*	5.6 Evaluation by OPE contract monitoring staff, monthly (exceptions reporting on deliverables and dollars), 1997	
6. Continue to provide strong fiscal management of the program.	**6.1 Positive audit findings.** No material internal control weaknesses identified in the Direct Loan portion of ED's Department-wide financial statement audit. *No material internal control weaknesses were identified in 1995 audit.*	6.1 Financial program audits, 1997	● ED is committed to assuring that our system design supports the accurate and timely reporting of direct loan financial transactions, with emphasis on financial balancing among various systems that support the program and maintaining of audit trails.

Please see also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

Institutional and borrower surveys are one component of an overall evaluation of the Federal Direct Loan Program being conducted by Macro International under contract to the U.S. Department of Education. The goal of the evaluation is to assess the effectiveness of direct lending primarily in terms of simplified administration and customer satisfaction. Findings from this study are reflected in the Department's matrix of performance indicators for the Direct Loan Program. The surveys conducted as a part of this study, both of institutions and of borrowers, are designed to determine the level of customer satisfaction with the Federal Direct Loan and Federal Family Education Loan (FFEL) Programs. The study will run from 1993 through 1998.

V. Sources of Information

1. Program data
2. Direct Loan Program Cost, President's Budget FY 1988: Appendix (Washington, DC: Office of Management and Budget, February 1997)
3. *Survey of First-Year Direct Loan Institutions* (Calverton, MD: Macro International, August 1995).
4. *A Survey of Direct Loan Program and Federal Family Education Loan Program Borrowers* (Calverton, MD: Macro International, February 1997).

VI. Contacts for Further Information

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Program Studies:	Steven Zwillinger, (202) 401-0182

Federal Perkins Loan Program
(CFDA No. 84.038)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part E, as amended (20 U.S.C. 1087aa-1087hh) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1959	$39,883,000	1986	$181,830,000
1960	40,393,000	1987	188,000,000
1965	145,000,000	1988	185,736,000
1970	188,785,000	1989	183,507,000
1975	321,000,000	1990	135,129,000
1981	186,000,000	1991	156,142,000
1982	178,560,000	1993	168,600,000
1983	178,560,000	1994	173,000,000
1984	161,060,000	1995	158,000,000
1985	161,060,000	1996	93,300,000

III. Analysis of Program Performance

A. Goals and Objectives

To help financially needy undergraduate and graduate students meet the costs of education by providing low-interest, long-term loans through postsecondary education institutions.

B. Strategies to Achieve the Goals

Services Supported

The Department of Education allocates Federal Perkins Loan funds to a postsecondary education institution based on the amount the institution expended in the 1985-86 award year, less a default penalty, plus an increase based on the school's share (according to a federal formula) of the total appropriation for the current year. Institutions then distribute these funds to eligible students according to their own aid-packaging policy. Federal Perkins Loans are a combination of federal and institutional capital contributions. The institutional capital contribution must equal at least three-tenths of the federal capital contribution.

To receive a Federal Perkins Loan, students must meet certain categorical eligibility criteria and demonstrate financial need (the cost of their attendance must exceed their expected family contribution, Pell Grant, and other financial aid received). Institutions determine the distribution of loans among eligible applicants and must give priority to those with exceptional financial need.

Beginning with the 1993-94 award year, the maximum annual loan limit is $3,000 for an undergraduate and $5,000 for a graduate or professional student, with aggregate limits of $15,000 and $30,000 respectively. These represent an increase over the prior aggregate limits of $9,000 for undergraduate students and $18,000 for undergraduate and graduate students combined. For borrowers attending an institution participating in the expanded lending option (institutions that have default rates less than 7.5 percent and match the federal capital contribution dollar for dollar), the maximum annual loan limit is $4,000 for an undergraduate and $6,000 for a graduate or professional student, with aggregate limits of $20,000 and $40,000, respectively.

Borrowers do not pay any interest while in school and during the grace period, but pay a 5 percent annual rate of interest while the loan is in repayment.

Loans can be canceled (forgiven) for statutory reasons, such as loans to borrowers serving in the military or teaching low-income or handicapped children.

Strategic Initiatives

Analyses from the National Postsecondary Student Aid Study, by the Department's Planning and Evaluation Service, found that:

- 3.2 percent of all postsecondary students received Federal Perkins Loans and 6.1 percent of full-time students did so. Participation is highest, almost 21 percent, among dependent students, whose families have incomes between $10,000 and $30,000 and attend private institutions. Almost 10 percent of all students attending private institutions received Federal Perkins Loans. Less than 1 percent of students enrolled in two-year public institutions received Federal Perkins Loans.

- A larger proportion of full-time graduate students (8.0 percent) received Federal Perkins loans than the proportion of full-time undergraduate students (5.9 percent).

- Less than 1 percent of part-time students received Federal Perkins Loans.

Table 1

Percentage of College Students Participating in the Perkins Loan Program 1992-1993 Award Year

	All	Type of Institution				Status	
		2-Year public	4-Year public	Private	Prop.	Full-Time	Part-Time
All	3.2%	0.6%	4.3%	7.4%	2.7%	6.1%	0.9%
Graduate	3.1	0.9	3.9	3.2	2.6	8.0	0.6
Undergraduate	3.2	0.6	4.4	8.9	2.7	5.9	0.9
Dependent[1]	4.5	0.3	4.3	12.7	3.0	6.3	1.1
Income	7.9	0.5	9.8	18.3	4.3	11.2	1.0
Under $10,000							
$10,000-29,000	8.1	0.7	10.4	20.8	4.2	11.5	2.8
$30,000 & Over	3.2	0.2	2.4	10.1	1.8	4.5	0.6
Independent	2.3	0.7	5.0	4.4	2.6	6.2	0.8
Income	5.2	1.8	9.5	9.1	3.2	8.1	2.5
Under $10,000							
$10,000 & Over	1.4	0.5	2.8	2.8	2.2	4.7	0.5

Note. The percentage of participation is for each grouping of students described by the intersecting row and column descriptors (e.g., 3.9 percent of graduate students attending a four-year public institutions). Source IV.2.

C. Program Performance—Indicators of Impact and Effectiveness

Population Targeting and Services

Federal Perkins Loans are available to undergraduate and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an examination approved by the Secretary of Education). Applicants must demonstrate financial need based on the cost of education and the ability of the student and or the student's family to pay this cost. Need is calculated in accordance with a congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

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[1] Undergraduates only.

The Federal Perkins Loan Program, with the Federal Supplemental Educational Opportunity Grant Program and the Federal Work-Study Program, are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive awards and how much they receive.

Participation. In the 1995-96 award year, (the most recent year for which student information is available), 687,697 students received Federal Perkins Loans; the average award amounted to $1,497. The total amount lent was $1,029,309,941--an amount more than six times greater than the appropriation. The Federal Perkins Loan funds go into a revolving fund. Loan repayments (and interest) are used to make new loans. In 1995-96, the amount of Federal Perkins Loans received by students increased over the previous year when 663,347 students received Federal Perkins Loans averaging $1,464 per loan.

Distribution by sector. Institutional participation in the program has decreased slightly. In 1995-96, 2,381 institutions received program funds, whereas 2,565 participated in 1994-95. Of the 2,381 institutions receiving funds, 783 were public, 1,085 were private non-profit and 513 were proprietary (private for-profit) institutions.

Table 2 displays the distribution of Federal Perkins Loan funding, by type of institution, since 1983-84, when these data were first collected.

- The distribution of program funds across different sectors of postsecondary education has remained fairly stable over time.

- Public and private nonprofit and proprietary schools received 43.7, 49.8, and 6.4 percent of program funds, respectively, for 1995-96.

Table 2

Distribution of Federal Perkins Loan Funds by Control of Institution for Award Years 1983-84 to 1995-96 (Percent)

Award Year	Public	Private	Proprietary
1995-96	43.8%	49.8%	6.4%
1994-95	48.7	47.9	3.4
1993-94	48.4	47.4	4.1
1992-93	49.7	44.7	5.6
1991-92	50.1	44.1	5.8
1990-91	50.7	43.5	5.8
1989-90	47.8	46.6	5.6
1988-89	49.4	45.3	5.3
1987-88	48.9	45.0	6.1
1986-87	49.2	44.1	6.7
1985-86	48.9	44.7	6.4
1984-85	49.9	43.8	6.2
1983-84	49.7	43.5	6.8

Source: IV.2.

Distribution by dependency status and educational level. Table 3 shows the distribution of Federal Perkins Loans by students' dependency status and level of education. In 1995-96, dependent and independent undergraduate students and graduate students made up 62.2, 25.6, and 12.3 percent, respectively, of all Federal Perkins Loans recipients during that year.

Table 3

Distribution of Federal Perkins Loans to Students by Dependency Status and Level of Education for Award Years 1983-84 to 1994-95 (Percent)

Award Year	Undergraduates Dependent	Undergraduates Independent	Graduate Students
1995-96	62.2%	25.6%	12.3%
1994-95	60.7	26.1	13.2
1993-94	57.7	29.9	12.4
1992-93	57.5	29.4	13.1
1991-92	57.5	29.7	12.9
1990-91	57.8	29.4	12.9
1989-90	53.0	27.4	19.6
1988-89	52.8	27.0	20.2
1987-88	56.3	25.0	18.7
1986-87	56.2	26.3	17.4
1985-86	56.6	25.4	18.0
1984-85	57.1	25.0	17.8
1983-84	58.3	24.3	17.4

Note: Numbers may not add to 100.0 percent because of rounding. Source IV.2.

Distribution by Income. Tables 4 and 5 show the percentage distribution of Federal Perkins Loans in 1995-96 by the dependency status of the student and level of family income:

- Over 50 percent of dependent Federal Perkins Loan recipients have family incomes of at least $30,000.
- Independent undergraduates and graduate students account for 25.6 percent and 12.3 percent of all Federal Perkins Loan recipients, respectively.
- Average awards do not vary much by income level. Graduate students, however, have a much higher average loan amount than undergraduate students, probably because of their higher costs and their independent status.

Table 4
Distribution of Federal Perkins Loans by Dependency Status for All Students
1994-95 Award Year
(Percent)

	Dependent	Independent	Graduate Students	All Students
Distribution of Recipients	62.2%	25.6%	12.3%	100.0%
Distribution of Aid	58.4%	23.3%	18.3%	100.0%
Average Award	$1,406	$1,362	$2,237	$1,497

Source IV.2

Table 5
Distribution of Federal Perkins Loans for Dependent Students by Family Income 1994-95 Award Year
(Percent)

	Under $6,000	$6,000-$11,999	$12,000-$23,999	$24,000-$29,999	$30,000-$41,999	$42,000-59,999	$60,000+	Total
Distribution of Recipients	5.5%	6.1%	20.0%	11.9%	21.0%	21.6%	13.3%	100.0%
Distribution of Aid	5.6%	6.0%	20.3%	12.0%	21.3%	21.4%	13.3%	100.0%
Average Award	$1,421	$1,383	$1,427	$1,424	$1,425	$1,390	$1,356	$1,406

Source IV.2

Outcomes

As of June 30, 1996 Federal Perkins Loan funds at postsecondary institutions had a current value of $6.7 billion, and cumulative defaults held by institutions totaled $818 million. This figure excludes information from schools that no longer participate in the program.

The Federal Perkins Loan program is set up as a revolving fund: borrowers' payments replenish the schools' loan funds, making capital available for loans to other students. The General Accounting Office found that 87 percent of participating institutions had operating expenses and losses, including loan cancellations (forgiveness), that exceeded their Perkins funds' income. GAO found that, through June 1989, cumulative operating costs (including cancellations and defaults) exceeded income by about $1.05 billion. Federal and school capital contributions have been used, in part, to make up for operating losses as well as to increase funds available for loans.

The institutional default rate is calculated by dividing the principal amount outstanding on loans in default by the principal amount of all loans that have entered repayment status. This rate excludes those loans which were assigned to the Department of Education. Loans that have not yet entered into repayment status are those in student status and first grace period. Default rate by institutional type is shown in Table 6.

Beginning in award year 1992-93, the Federal Perkins Loan default rate is calculated for cohorts instead of cumulatively.

Table 6
Federal Perkins Loan Program
Status of Cohort Default as of June 30, 1996

	Number of Borrowers Who Entered Repayment Status in 1993-94	Number of Borrowers Who Entered Repayment Status in 1993-94 and in Default on June 30, 1995	Cohort Default Rate	Number of Borrowers in Default More Than 240 Days	Principal Outstanding on Loans in Default More Than 240 Days
Public 2-Year	21,938	4,582	20.89	48,047	$ 41,552,855
Public 4-Year	187,501	19,107	10.19	249,535	350,421,902
Private 2-Year	5,528	831	15.03	10,412	12,498,611
Private 2-Year	153,351	16,972	11.07	205,689	349,477,305
Proprietary	28,207	8,363	29.65	56,771	64,477,334
Total	**396,525**	**49,855**	**12.57**	**570,454**	**$818,571,007**

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Campus-Based Programs Performance Measures

Goal: To successfully manage the Campus-Based Programs in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.

Objective	Indicators	Source and Next Update	Strategies
Students			
1. Maintain a high level of student satisfaction.	1.1 **Overall satisfaction with campus-based programs.** *Benchmark to be determined via initial survey.*	1.1 Office of Postsecondary Education (OPE)/ Office of the Under Secretary's Planning and Evaluation Service (PES) student aid applicants survey, annual, 1997	• Students will be more satisfied due to the increased funding for Federal Work-Study and our efforts to align jobs better with academic and career goals. In addition we are strongly encouraging schools to make jobs available tutoring underprivileged children in their communities. We believe students will find this tutoring to be very rewarding.
Institutions - all Campus-Based programs			
2. Improve institutional utilization of campus-based program funds.	2.1 **Percent of funds available for reallocation**. Amount of funds available for reallocation will be maintained at current low level. *For 1995-96, reallocations ($12.5 million) represented about 1% of the funds allocated ($1.3 billion).*	2.1 Annual OPE program data, 1997	• A workgroup has been formed which will be instructing schools on the appropriate expenditure of funding.
3. Maintain a high level of institutional satisfaction.	3.1 **Overall institutional satisfaction with the campus-based programs**. Exceed the overall satisfaction rate of 75%. *Baseline to be determined via initial survey.*	3.1 Annual performance report (benchmark data to be established via survey, OPE customer complaints), 1997	• Elimination of paper Financial Aid Transcripts will make schools happier with our services. Also in FY 1998, we plan to make the FISAP available to schools in a windows environment.

Campus-Based Programs Performance Measures

Goal: **To successfully manage the Campus-Based Programs in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**

Objective	Indicators	Source and Next Update	Strategies
Federal Work-Study Program			
4. Improve the level of participation in community service under the FWS Program.	**4.1 Percent of program funds spent on community service.** Meet or exceed the current percent of expenditures used for community service, especially America Reads. *Preliminary level = 7.93%*	4.1 OPE program data, annual, 1997	- As an incentive, schools using reading tutors are waived from having to provide their "match" to federal funds. - Assure timely disbursement of funds in support of America Reads.
5. Improve placement of FWS students in jobs related to academic/ career goals.	**5.1 Student placement rates.** Rates at which students are placed in related jobs will increase. *Baseline to be developed.*	5.1 NCES data, survey of institutions, annual, 1997	- Our Job Locator and Development Program uses Federal Work/Study money to create jobs that are relevant for students.
Federal Perkins Loan Program			
6. Improve the management of the Federal Perkins Loan Program portfolio.	**6.1 Cohort default rate.** Rate will decrease from current level. *For borrowers entering repayment during the 1993-94 award year and who were more than 240 days in default on June 30, 1995, the national cohort default rate is 10.75%. For the previous year, the rate was 11.42%.* **6.2 Collection rate.** The program collection rate will continually increase over baseline. *Baseline to be developed.*	6.1 OPE program data; annual, 1997 6.2 OPE program data, annual, 1997	- Our Default Reduction Assistance Program serves to help schools in preventing defaults.
Taxpayers			

Campus-Based Programs Performance Measures

Goal: **To successfully manage the Campus-Based Programs in an efficient and cost-effective manner to help students and their parents meet postsecondary education costs.**

Objective	Indicators	Source and Next Update	Strategies
7. Provide a program that is cost-effective for the taxpayer.	7.1 **Contractor performance.** All major deliverables will meet established quality standards and be produced on time and within cost or budget. *Prototype contractor report is under development.*	7.1 Evaluation by ED's Contracts and Purchasing Operations and OPE's contract monitor, monthly, 1997	• All Task Orders under the new Campus-Based Systems and Development Contract will be performance-based. The contract also contains an automated statistically driven quality control/quality assurance (QC/QA) subsystem. Also under EDCAPS, we are re-engineering the Campus-based accounting system which will promote the continued ability to reconcile Campus-based expenditures.
8. Provide strong fiscal management of the program.	8.1 **Positive audit results, i.e., no material weaknesses for the Campus-Based Programs.** No material internal control weaknesses will be identified in the Campus-Based Programs' portion of ED's Department-wide financial statement audit. *No material weaknesses were identified in the FY 1995 Department-wide financial statement audit.*	8.1 Financial program audits, annual, 1997	• As indicated above, the improved Campus-Based accounting system will result in improved fiscal management.

Please see also Office-Wide Performance Indicators for Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None

V. Sources of Information

1. *National Postsecondary Student Aid Study.* (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1992).

2. *Fiscal Operations Report 1994-95*, unpublished tables from Forecasting and Policy Unit, Policy, Budget and Analysis Section, Office of Policy Planning and Innovation, Office of Student Financial Assistance, U.S. Department of Education.

3. *Perkins Student Loans: Options That Could Make the Program More Financially Independent* (Washington, DC: U.S. General Accounting Office, December 1991).

VI. Contacts for Further Information

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Federal Supplemental Educational Opportunity Grant Program
(CFDA No. 84.007)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, as amended (20 U.S.C. 1070b to 1070b-3) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$58,000,000	1987	$412,500,000
1970	164,600,000	1988	408,415,000
1975	240,300,000	1989	437,972,000
1980	370,000,000	1990	458,650,000
1981	370,000,000	1991	520,155,000
1982	355,400,000	1992	577,000,000
1983	355,400,000	1993	585,300,000
1984	375,000,000	1994	583,407,000
1985	412,500,000	1995	584,407,000
1986	394,762,000	1996	584,407,000

III. Analysis of Program Performance

A. Goals and Objectives

To help financially needy undergraduate students meet the costs of their education by providing supplemental grant assistance through participating postsecondary institutions.

B. Strategies to Achieve the Goals

Services Supported

Federal Supplemental Educational Opportunity Grants (FSEOGs) are available to undergraduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education). Students must also demonstrate financial need, which is based on the cost of education and the ability of the student or student and family to pay this cost and calculated in accordance with a congressionally specified formula. Final award amounts are determined by the postsecondary institution and depends on the amount of funds available at the institution and the institution's aid packaging philosophy.

The FSEOG program, Federal Perkins Loan Program, and the Federal Work-Study Program are collectively referred to as Campus-Based Programs because the institution determines which eligible students receive aid and how much they receive.

Program Administration

Until the 1991-92 awards year, FSEOG awards were funded entirely by the federal government; since then FSEOG awards have been a combination of federal and institutional contributions. Beginning the 1993-94 award year, the minimum institutional contribution became 25 percent. The institutional share may be waived under certain circumstances approved by the Secretary.

The disbursement of FSEOG awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum based on the institution's FSEOG expenditures in the 1985-86 award year, and increases based on a measure of institutional need. Second, institutions award these funds to eligible students, with first priority given to students with exceptional need who also receive Pell Grants.

After award of FSEOG funds to all eligible Pell Grant recipients (in order of lowest family contribution), FSEOG funds are awarded to other recipients with the lowest family contribution.

The maximum award for an academic year is $4,000 and the minimum award for a full academic year is $100.

C. Program Performance—Indicators of Impact and Effectiveness

Analyses of data from the most recent National Postsecondary Student Aid Study (V.2.) by the Department's Planning and Evaluation Service, presented in Table 1, show that:

- Overall, 5.2 percent of all postsecondary students received FSEOG awards. The proportion of students receiving awards varies with the type of institution attended, ranging from 2.7 percent at two-year public institutions to 10.5 percent at private and proprietary institutions.
- The FSEOG program is strongly targeted at lower-income students. For students from families with incomes less than $10,000, 15.7 percent of full-time dependent students received awards and 28 percent of those enrolled in private institutions received awards. Only 1.6 percent of full-time dependent students with family incomes at $30,000 and above received awards.
- FSEOG awards are rarely given to part-time students; only 2.6 percent of part-time students received FSEOG awards.

Table 1
Percentage Of Students Participating In The FSEOG Program
1992-93 Award Year

	All	Type of Institution				Status	
		2-Yr Public	4-Yr Public	Private	Prop.	Full-time	Part-time
All	5.2%	2.7%	5.4%	9.0%	10.5%	7.9%	2.6%
Dependent	4.7	1.5	4.7	10.2	6.6	6.0	2.3
Income	15.7	6.8	15.8	31.9	11.5	20.9	6.7
Under $10,000							
$10,000-$29,000	12.2	3.3	13.6	28.0	12.8	16.7	5.6
$30,000+	1.6	0.5	1.6	3.8	1.1	2.0	1.0
Independent	5.8	3.5	7.2	8.3	12.5	12.9	2.8
Income	14.7	11.1	14.5	21.1	18.1	19.3	10.0
Under $10,000							
$10,000+	3.0	1.9	3.7	3.9	8.3	7.8	1.6

Source: III.2.

Note: The percentage of participation is for each grouping of students that is described by the intersecting row and column descriptors (e.g., 15.8 percent of dependents with income under $10,000 attending 4-year public institutions received FSEOG awards).

Population Targeting and Services

__Participation__. In the 1995-96 award year, the most recent year for which information is available, 1,082,851 students received FSEOG awards averaging $706. This is a slight increase in the number of recipients from the 1994-95 award year, when 1,056,560 students received awards averaging $715.

__Distribution by sector__. Table 2 shows the distribution of FSEOG funds across types of institutions between 1983-84, when these data were first collected, and 1995-96. The table shows a slight decrease in the nonprofit share--increase in the nonprofit share 41.5 percent in 1995-96 versus 41.8 percent in 1983-84.

Institutional participation in the program also has decreased slightly: In 1993-94, 4,215 institutions received program funds, whereas 4,095 participated in 1995-96. Of the 4,095 institutions receiving funds, 36 percent were public, 33 percent were private, nonprofit, and 31 percent were proprietary (private, for-profit) institutions (V.1).

Table 2

Percentage Distribution Of FSEOG Funds To Students By Type Of Institution, Award Years, (Percent) 1983-84 to 1995-96

Award Year	Public	Nonprofit	Private Proprietary
1995-96	51.1%	41.5%	7.4%
1994-95	49.2	42.4	8.2
1993-94	47.4	43.0	9.6
1992-93	46.5	43.1	9.6
1991-92	46.3	43.0	10.7
1990-91	48.1	42.0	9.9
1989-90	48.2	40.3	11.5
1988-89	49.7	41.3	9.0
1987-88	48.4	41.4	10.2
1986-87	49.0	41.4	9.6
1985-86	48.5	41.9	9.6
1984-85	49.4	41.9	8.7
1983-84	49.8	41.8	8.4

Source: V.1.

Distribution by dependency status. The composition of recipients has changed since 1983-84. Table 3 shows that since 1983, independent students have made up an increasing proportion of FSEOG recipients. In the 1994-95 award year, 41.9 percent of all recipients were independent students, compared with 30.1 percent in 1983-84.

Table 3

Percentage Distribution Of FSEOG Recipients
By Dependency Status
1983-84 to 1995-96

Award Year	Dependent	Independent
1995-96	45.5%	54.5%
1994-95	58.1	41.9
1993-94	59.1	40.9
1992-93	44.3	55.7
1991-92	45.5	54.5
1990-91	49.4	50.6
1989-90	51.7	48.3
1988-89	54.3	45.7
1987-88	60.6	39.4
1986-87	67.8	32.1
1985-86	68.1	31.8
1984-85	69.0	31.0
1983-84	69.9	30.1

Source: V.1.

The data in Table 4 show that FSEOG awards tend to be substantially larger for dependent students than independent students ($892 versus $550). Dependent students accounted for 45.5 percent of all recipients but received 57.5 percent of FSEOG funds distributed during the 1995-96 academic year.

Distribution by income. Table 5 shows the distribution of awards by family income for dependent undergraduates. Students from families with income less than $30,000 (approximate median family income) made up 79.6 percent of all dependent undergraduate recipients and received 78.1 percent of FSEOG funds awarded to dependent students during the 1995-96 award year. Across income groups, however, average awards increased in general with the level of family income, probably because students from higher-income families are more likely to attend higher-cost institutions. Given the formulas used to determine need, low-income students may not be eligible for higher awards even though they have lower expected family contributions, because they may attend lower-cost schools and receive higher Pell Grant awards. Both factors may act to reduce their need relative to that of higher-income students.

Table 4

Distribution Of FSEOG Awards By Dependency Status For All Students 1995-96

	Dependent	Independent	All Students
Percentage Distribution of Recipients	45.5%	54.5%	100.0%
Percentage Distribution of Aid	57.5%	42.5%	100.0%
Average Award	$892	$550	$706

Source: V.1.

Table 5

Distribution Of FSEOG Awards By Family Income For Dependent Undergraduates Students 1995-96 Award Year

Dependent Undergraduate Students								
	Under $6,000	$6,000-$11,999	$12,000-$23,999	$24,000-$29,999	$30,000-$41,999	$42,000-59,999	$60,000+	Total
Percentage Distribution of Recipients	13.4%	15.7%	36.3%	14.3%	14.2%	4.9%	1.2%	100.0
Percentage Distribution of Aid	12.8	14.1	36.4	14.8	15.2	5.4	1.3	100.0
Average Award	$850	$804	$893	$825	$955	$970	$975	$892

Source: V.I

Please see Campus-Based Programs Performance Measures displayed in Chapter 504. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

The National Postsecondary Student Aid Study for the 1995-96 school year will be available in FY 1997. The study is repeated at three-year intervals.

V. Sources Of Information

1. Fiscal Operations Report 1994-95, published tables from Forecasting and Analysis Unit, Policy, Budget and Analysis Section, Office of Policy, Planning, and Innovation, U.S. Department of Education.

2. National Postsecondary Student Aid Study, (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1992).

VI. Contacts for Further Information

Program Policy:	Harold McCullough, (202) 708-4690
Program Analysis:	Daniel T. Madzelan, (202) 708-9069
Program Studies:	Steven Zwillinger, (202) 401-3630

Federal Work-Study Program
(CFDA No. 84.033)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part C, as amended (42 U.S.C. 2751-2756a) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$55,710,000	1987	$592,500,000
1970	152,460,000	1988	588,249,000
1975	420,000,000	1989	610,097,000
1980	550,000,000	1990	601,765,000
1981	550,000,000	1991	594,689,000
1982	528,000,000	1992	615,000,000
1983	590,000,000	1993	616,508,000
1984	555,000,000	1994	616,508,000
1985	592,500,000	1995	616,508,000
1986	567,023,000	1996	616,508,000

III. Analysis of Program Performance

A. Goals and Objectives

To help financially needy undergraduate and graduate students to meet the costs of their education at participating postsecondary institutions by helping institutions to provide on and off campus part-time employment for students. The funds appropriated pay a portion of the students' salaries in Federal Work-Study (FWS) jobs.

B. Strategies to Achieve the Goals

Services Supported

Federal Work-Study jobs are available to undergraduates and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education). Students must also demonstrate financial need which is based on the cost of education and the ability of the student and their family to pay this cost and calculated in accordance with a congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution and depend on the amount of funds available at the institution and the institution's aid-packaging policy.

The FWS program, the Federal Supplemental Educational Opportunity Grant Program, and the Federal Perkins Loan Program are collectively referred to as Campus-Based Programs because the institution determines which eligible students receive awards and how much they receive.

Student eligibility for a FWS award is determined by a statutory formula; the size of the award is determined by the student's need.

FWS awards are a combination of federal and institutional contributions. The federal contribution has changed over the past few years. In the 1988-89 award year, the federal contribution could not exceed 80 percent; in 1989-90, the federal share could not exceed 75 percent; and for 1990-91, 1991-92, and 1992-93 the award years, the federal share of compensation paid to a student could not exceed 70 percent. Beginning with the 1993-94 award year, the maximum federal share became 75 percent. The institutional share may be waived under certain conditions.

The disbursement of FWS awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum (depending on institutional expenditures in the 1985-86 award year); additional funds are allocated in proportion to the need of students' participating in the program. Second, institutions award these funds to eligible students according to their own financial aid-packaging policies. Institutions determine which eligible students receive awards and how much they receive.

In addition to wages for students, institutions may use FWS funds for the following purposes:

- Up to 25 percent of its FWS allocation for an award year can be transferred to the Federal Supplemental Educational Opportunity Grant program.
- The lesser of 10 percent of its FWS allocation or $50,000 may be used to operate or expand the institution's Job Location and Development Program.
- An institution may qaulify for an administrative cost allowance if the institution provided employment to its students in that award year.

Strategic Initiatives

To encourage more students to work as reading tutors and to support the President's America Reads Challenge, the Department has waived the 25 percent institutional matching requirement for students who tutor kindergarten and elementary school students in reading, effective with the 1997-98 academic year. The President's goal is to have Work-Study students account for 10 percent (100,000) of the America's Reading Corps by 1999.

In order to improve the level of participation in community service under the FWS Program, institutions that meet certain criteria, including provisions for community service, do not have to provide their "match" to federal funds.

Beginning in FY 1997, the Department plans to make the FISAP (the Federal Application to Participate in the Program) available to schools in a Windows environment.

Analyses from the National Postsecondary Student Aid Study (V.1.), by the Department's Planning and Evaluation Service, presented in Table 1, found for the 1992-1993 award year that:

- 4.5 percent of all postsecondary students and about 8 percent of all full-time students received FWS employment. The percentage of students participating in the program varied by school type. Less than 1 percent of proprietary students received FWS, while about 11 percent of students at private institutions did so.

- Almost one-fifth (15.4 percent) of dependent undergraduates at private institutions received FWS employment. At these schools, 27.3 percent of undergraduates with family incomes up to $29,000 received FWS awards compared with 11.9 percent of those with higher incomes.
- Less than 1 percent of part-time students received aid.

Table 1

Percentage of Students Participating
in the FWS Program
1992-93 Award Year

	All	Type of Institution				Status	
		2-Yr Public	4-Yr Public	Private	Prop.	Full-Time	Part-Time
All	4.5%	1.8%	4 .6%	11.1%	0.9%	7.9%	0.7%
Graduate	1.8	NA	1.1	3.1	2.2	4.2	0.3
Undergraduate	3.1	0.9	3.3	10.0	0.5	5.9	0.7
Dependent*	4.9	0.9	3.9	15.4	0.4	7.0	0.9
Income							
Under $10,000	8.6	3.0	10.2	20.6	0.5	12.4	3.1
$10,000- 29,000	9.0	2.1	8.7	27.3	0.7	13.4	1.6
$30,000	3.5	0.4	2.2	11.9	0.2	4.9	0.5
Independent	1.6	0.9	2.8	3.6	0.6	4.4	0.7
Income							
Under $10,000	4.7	3.7	5.9	10.1	0.9	7.1	2.8
$10,000	0.7	0.3	1.4	1.4	0.3	2.2	0.4

* Undergraduates only.

Source: V.2.

NOTE: The percentage of participation is for each grouping of students that is described by the intersecting row and column descriptors (e.g., 1.1 percent for graduate students attending 4-year public institutions).

Population Targeting and Services

Participation. According to program data, 702,365 students received FWS awards, averaging $1,087, in the 1995-96 award year (the most recent year for which data are available). This is a decrease from the previous year when 711,906 students received awards averaging $1,084.

Distribution by sector Institutional participation in the program has decreased slightly: In 1995-96, a total of 3,544 institutions received program funds, whereas 3,620 participated in 1994-95.

Table 2 shows the distribution of FWS funds by type of institution between 1983-84 when these data were first collected, and 1995-96. The proportion of funds going to public, private, nonprofit, and proprietary institutions has changed only slightly throughout this period, with public institutions receiving slightly more than half of all funds disbursed in 1995-96 (approximately 56 percent), private, nonprofit institutions receiving the next largest share (approximately 41 percent), and proprietary institutions receiving a very small portion of funds (approximately 3 percent).

Table 2

Percentage Distribution of FWS Funds,
by Type of Institution
Award Years 1983-84 to1995-96

Award Year	Public	Private Nonprofit	Proprietary
1995-96	56.5%	40.8%	2.7%
1994-95	52.7	45.5	1.9
1993-94	53.1	45.0	1.8
1992-93	53.4	44.4	2.2
1991-92	52.4	45.5	2.1
1990-91	52.8	45.0	2.2
1989-90	54.5	43.1	2.4
1988-89	54.4	43.3	2.3
1987-88	54.9	42.6	2.5
1986-87	56.3	42.0	1.8
1985-86	55.8	42.8	1.4
1984-85	56.6	42.1	1.3
1983-84	56.6	41.9	1.6

Source: V. 2.

Distribution by dependency status and educational level. During the mid-1980s, increasing shares of program funds were awarded to dependent undergraduates, whereas the portion of funds going to graduate students decreased. These trends appear to have stabilized in the past few years (see Table 3). In 1995-96, undergraduates received approximately 95 percent of all FWS funds, and more than 70 percent of funds awarded to undergraduates were awarded to dependent students.

Table 3

Distribution of FWS Funds, by Undergraduates' Dependency Status Award Years 1983-84 to 1995-96

Award Year	Dependent	Independent
1995-96	71.4%	23.0%
1994-95	71.2	23.4
1993-94	71.7	23.5
1992-93	62.7	27.3
1991-92	68.7	26.6
1990-91	69.7	25.4
1989-90	69.6	25.7
1988-89	69.8	25.6
1987-88	71.3	24.2
1986-87	64.5	26.8
1985-86	63.8	25.9
1984-85	64.1	25.8
1983-84	64.7	25.2

Source: V.2.

Distribution by income. The proportion of recipients, the total aid, and average awards vary by type of student and level of family income (see Tables 4 and 5.) In 1995-96, the average award for dependent undergraduates was $1,008, whereas the average award for independent undergraduates was 11.3 percent larger ($1,142). Graduate students received the largest awards, however, with an average amount ($1,874). As a result, graduate students receive a disproportionate share of FWS funds. Although they constituted only 5.6 percent of all recipients, graduate students received 9.9 percent of all program funds.

For dependent undergraduates, the percentage of recipients across income levels closely mirrors the percentage of aid distributed across the same income levels. Among dependent undergraduates, approximately 46 percent of FWS recipients are awarded for families with income below $30,000. The highest average award for dependent undergraduates is for students whose family income is between $24,000 and $30,000. The average award for this group is $1,050.

Table 4

Percent Distribution of FWS Awards by Dependency and Graduate Status for all Students -- 1994-95 Award Year

	Dependent Undergraduate	**Independent Undergraduate**	**Graduate Students**	**All Students**
Distribution of recipients	71.4%	23.0%	5.6%	100%
Distribution of aid	66.1%	24.1%	9.8%	100%
Average award	$1,008	$1,142	$1,874	$1,087

Source: V.2.

Table 5

Distribution Of FWS Awards By Family Income For Undergraduate Dependent Students -- 1995-96 Award Year

	Dependent Students							
	Under $6,000	$6,000-$11,999	$12,000-$23,999	$24,000-$29,999	$30,000-$41,999	$42,000-$59,999	$60,000+	Total
Distribution of Recipients	7.2%	7.6%	20.2%	10.7%	18.8%	20.3%	15.2%	100%
Distribution of Aid	7.5%	7.9%	21.0%	11.2%	19.0%	19.5%	13.9%	100%
Average Award	$1,056	$1,049	$1,050	$1,050	$1,012	$969	$923	$1,087

Sources: V.2.

In a 1990 review of research concerned with college work experience for students (V.3), three patterns appeared to emerge:

1. At least in the first years following graduation, students who worked during college earn more money.
2. The positive correlation between working and performance in school is stronger when the job is more closely related to college courses.

3. Students who work do not get lower grades than students who do not work.

C. Program Performance—Indicators of Impact and Effectiveness

Please see Campus-Based Programs Performance Measures displayed in Chapter 504. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

The National Postsecondary Student Aid Study for school year 1995-96 will be available in FY 1997. The study is repeated at three-year intervals.

A survey is currently under development concerning postsecondary institutions operation of the FWS program. A survey of FWS recipients is also being planned regarding students' experience with the program.

V. Sources of Information

1. National Postsecondary Student Aid Study (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1992).

2. Fiscal Operations Report 1995-96, unpublished tables from Forecasting and Policy Unit, Policy, Budget and Analysis Section, Office of Policy, Planning and Innovation, U.S. Department of Education.

3. Work Experience for Students in High School and College (Berkeley, CA: National Center for Research in Vocational Education, Reprint Series, 1990)

VI. Contacts for Further Information

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State Student Incentive Grants
(CFDA No. 84.069)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, enacted P.L. 92-318, as amended, P.L. 94-482, 95-43, 96-374, 99-498, 102-325, 103-208 (20 U.S.C. 1070c to 1070c-4) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$19,000,000	1992	$72,000,000
1980	76,750,000	1993	72,429,000
1985	76,000,000	1994	72,429,000
1990	59,181,000	1995	63,375,000
1991	63,530,000	1996	31,375,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is intended to make incentive grants to states to help them provide grant and work-study assistance to students attending postsecondary educational institutions. Each state designates an agency to be responsible for the administration of States Student Incentive Grants (SSIG) funds. The agency may be part of the state government, the state's education department, the organization managing other state grant or loan programs, or a designated corporation acting for the state. The agency receives federal SSIG funds, matches them at least dollar for dollar with state funds, and distributes them to students (or to institutions for disbursement to students) eligible under the SSIG program.

B. Strategies to Achieve Goals

Services Supported

SSIG awards are available to full-time and part-time students attending postsecondary institutions at the undergraduate and graduate levels. Students must demonstrate substantial financial need based on formulas established by the states and approved by the Secretary of Education. All states make awards to full-time students, and some also make awards to part-time students. In the 1994-96 academic year, 10 states served graduate as well as undergraduate students, and 22 states reported awards to part-time students.

In the FY 1995-96, SSIG federal funds of $63.1 million, matched by $784.2 million in state funds for a total of $847.3 million, were distributed to 700,029 recipients, with awards averaging $1,210. The average award in FY 1994 was $1,193, about the same as in the previous three award years.

Some states provide much more than their required match, but it is difficult to identify the distribution of these funds before the 1990-91 award year, when these data were first collected. Including SSIG and other state aid programs, the states distributed more than $2.846 billion in aid grants in FY 1995-96, up from about $2.871 billion in the previous year.

The distribution of program funds and of aid recipients across different sectors of postsecondary education has varied only slightly over the past 12 years. As shown in Tables 1 and 2, public four-year institutions accounted for 40 percent of the total dollars awarded and 40 percent of SSIG recipients in 1995-96. Private four-year institutions had about half as many participants as public four-year schools but a roughly equal share of the dollars. As a result, awards at private schools are nearly twice the size of awards at public institutions, probably because private-school costs generally are higher than public school costs.

SSIG awards go primarily to lower-income students. In FY 1995-96, 70 percent of SSIG recipients had family incomes below $20,000 per year (not adjusted for inflation), compared with about 70 percent in FY 1989-90. If real income levels were used (e.g., constant 1989-90 dollars), there would be an increase in the percentage of awards going to lower-income students over time.

Table 1

Percentage Distribution Of SSIG Funds By Type Of Institution
FY 1989-90 to 1994-95

Award Year	4-Year Public	4-Year Private, Private, Nonprofit	2-Year Public & Nonprofit	Proprietary
1995-96	39.6%	37.4%	19.1%	2.7%
1994-95	39.6	38.4	18.9	2.2
1993-94	39.8	38.6	17.8	2.8
1992-93	44.4	44.1	18.8	3.0
1991-92	40.5	40.2	15.8	3.0
1990-91	37.6	42.8	15.8	3.1
1989-90	44.3	38.8	14.4	2.5

Note: Rows may not add up to 100 percent because of rounding and because less than one percent of institutions do not fall into the four types listed.

Source: V.1.

Table 2

Percentage Distribution Of SSIG Recipients By Type of Institution FY 1989-90 to 1994-95

Award Year	4-Year Public	4-Year Private Nonprofit	2-Year Public & Private Nonprofit	Proprietary
1995-96	41.2%	25.0%	30.0%	3.8%
1994-95	40.6	24.0	30.7	2.9
1993-94	40.8	24.9	29.7	2.9
1992-93	43.0	26.0	26.7	3.0
1991-92	43.0	27.0	25.0	2.2
1990-91	42.6	28.7	24.5	3.1
1989-90	50.0	24.7	22.7	2.6

Source: V.1.

States determine which institutions are eligible to participate in the SSIG program, although all public and private nonprofit institutions of higher education are eligible to participate unless specifically excluded in the state's constitution or by a state law enacted before October 1, 1978. In addition, 26 states provided SSIG funding for eligible students attending proprietary (private, for-profit) institutions. Federal and state matching SSIG funds accounted for nearly 30 percent of all academic year 1995-96 state grant dollars awarded to students for postsecondary study.

Strategic Initiatives

States are provided with checking procedures (edits) to review their data to assure accuracy. The Department will review all state reports annually for the accuracy of application and performance data. In addition, the Department will provide case-by-case assistance to the states regarding various administrative aspects of the program and will distribute appropriate guidance to all participating entities.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed. Please see Office-Wide Performance Objectives and Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

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Upward Bound
(CFDA No. 84.047)

I. Legislation

Higher Education Act (HEA) of 1965, as amended, Title IV, Part A Subpart 2, Chapter 1, Sec. 402C (20 U.S.C. 1070a-11 and 1070a-13) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1967	$28,000,000	1987	$74,548,185
1970	29,600,000	1988	80,413,638
1975	38,331,000	1989	98,830,000
1980	62,500,000	1990	100,600,000
1981	66,501,000	1991	131,643,731
1982	63,720,000	1992	158,759,000
1983	68,366,514	1993	157,589,899
1984	70,754,376	1994	162,500,000
1985	73,614,193	1995	190,563,469
1986	72,338,636	1996	191,269,332

1/ The allocations represent the amount allocated administratively by the Department from funds appropriate jointly for all six federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement program, and the Training Program for federal TRIO programs.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the program is to generate among low-income youths and potential first-generation college students enrolled in high school the skills and motivation necessary for success in education beyond high school.

B. Strategies to Achieve the Goals

Population Targeting

To participate in Upward Bound (UB), students must be between the ages of 13 and 19 (except for veterans), have completed the 8th grade, and have a need for academic support to successfully pursue a program of postsecondary education. Participants are selected on the basis of recommendations from their counselors, teachers, and social agencies. Two-thirds of the project participants must be low-income persons (defined as 150 percent of poverty level) who are also potential first-generation college students. The remaining one-third must be either low-income or potential first-generation college students.

There are now 601 Upward Bound grantees serving 44,700 students. Grants are usually for four years, but applicants whose grant proposals are scored in the top 10 percent of a competition are awarded five-year grants. In FY 1990 the Department also awarded additional funds to establish Upward Bound summer residential programs emphasizing math and science learning. There are now 81 Upward Bound math-science projects serving 3,712 students.

Services Supported

	FY 1996 Awards	
	Program Regular	Math/Science Summer
Number of projects	601	81
Average award	$286,540	$235,292
Number of persons served	44,750	3,712
Average federal cost per participant	$3,848	$5,134

Students are recruited for participation in Upward Bound through their high schools, known as "target schools." These target schools are listed in the application; approximately 3,300 such schools are served by UB projects throughout the country. Students in UB programs generally participate in an intensive six-week summer residential or nonresidential program held on a college campus. They continue to receive academic and support services during the school year, typically on weekends or after school.

All Upward Bound project must provide instruction in the following areas:

- Math (through precalculus);
- Laboratory science;
- Foreign language;
- Literature; and
- Composition.

In addition, the following services are typically provided in the academic year and summer components of the project:

- Instruction in reading, writing, study skills, and other subjects necessary for success in education beyond high school;
- Academic or personal counseling;
- Exposure to cultural events and academic programs;
- Tutorial services;
- Information on student financial assistance;
- Assistance in completing college entrance and financial, and preparing for admissions tests;
- Exposure to a range of career options; and.
- Mentoring.

A current Education Department evaluation of Upward Bound (V.4) has concluded that "the great majority of Upward Bound projects today strive to engage students in an academically intensive precollege program. Several indicators from this study provide evidence of the academic cast of Upward Bound: (1) Upward Bound projects offer a substantial number of academic courses (a median of 17 during summer session); (2) course content emphasizes a traditional core of math and science subjects, with more emphasis placed on material that enriches or supports high school curriculum than on remediation;) (3) an Upward Bound participant typically attends about 180 academically oriented instructional sessions yearly; and (4) short-term program effects show that Upward Bound participants earn more high school credits in academic courses than nonparticipants in a control group.

Programs may be sponsored by institutions of higher education, public and private nonprofit agencies, or combinations of such entities. In exceptional cases, secondary schools may sponsor a project or be part of a combination of entities sponsoring a project.

Prior experience points are earned by grantees that have conducted an Upward Bound project during the three years prior to the year in which a new application is submitted. Up to 15 points can be awarded based on the applicant's prior program performance as an Upward Bound grantee. The goal is to promote continuity in the delivery of services.

Strategic Initiatives

The Department is planning several initiatives to improve service delivery and customer satisfaction, increase the dissemination of information on TRIO programs, and improve program effectiveness. These efforts include conducting periodic customer surveys, streamlining the grants award process, and improving project performance report data and feedback to grantees.

The Department has recently revised program regulations to improve the reliability of it criteria for selection of participants and for allocation of points for prior experience. The revised regulations improve project accountability and help the Department develop a better working relationship with the Upward Bound grantees.

C. Program Performance—Indicators of Impact and Effectiveness

Objectives	Indicators
High school completion	Upward Bound participants will complete high school at higher rates than nonparticipants.
College enrollment	Upward Bound participants will enroll in postsecondary education at higher rates than comparable nonparticipants.
College completion	Upward Bound participants who enroll in postsecondary education will complete 2- or 4-year postsecondary education programs at rates higher than comparable nonparticipants.

Two major activities are under way to obtain accurate and timely data measuring program performance. First, The Department has undertaken a large nationally representative evaluation of Upward Bound that includes a longitudinal survey of 2,800 randomly selected program participants and controls. This evaluation has assessed the short-term impacts of Upward Bound while participants are enrolled in high school. Impacts on high school graduation and college enrollment are currently being analyzed, with future data collection planned to assess long-term program effects on college completion. The Department is revising requirements for the annual performance reports submitted by all grantees to better align them with the objectives and performance indicators described above.

High School Completion

Upward Bound has been evaluated several times in the past. The most comprehensive evaluation of the program was undertaken by Research Triangle Institute (RTI) between 1973 and 1979 (V.2). This study followed a sample of approximately 3,700 Upward Bound participants from 54 sampled projects and 2,300 nonparticipating matched comparison group students.
This study found that Upward Bound had no effect on high school graduation rates.

Other analyses from the High School and Beyond survey for 1982 high school graduates found similar results--no significant difference in rates of high school graduation for Upward Bound participants and a similar comparison group of nonparticipants(V 3 and V.5).

Despite results indicating little impact on high school graduation rates, all studies have found that more than 90 percent of Upward Bound participants complete high school. This largely reflects the program's tendency to attract students with strong academic motivation.

College Enrollment

Previous studies have found that Upward Bound has a significant positive impact on rates of college enrollment and the type of institutions attended. In the RTI study, significantly more Upward Bound participants entered postsecondary education than nonparticipants; in addition, those who enrolled in college were more likely to attend a four-year institution than were nonparticipants. This study also found that minorities, economically disadvantaged students, and students classified as academic risks were particularly more likely to enter college from among Upward Bound participants than from the comparison group.

An analysis (V.3 and V. 5) of students in the High School and Beyond survey of senior found similar effects of program participation. Upward Bound participants were more likely to enter college than nonparticipants.

Since 1992, the Department has conducted a national evaluation to assess the impact of Upward Bound. This evaluation, including results to date, is summarized below.

College Completion

Data on the college completion rate of recent Upward Bound participants is not available but an RTI evaluation found that Upward Bound participants experience postsecondary success, including likelihood of graduation from college, more frequently than a comparison group of nonparticipants.

TRIO			
Goal: To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.			
Objectives	Indicators	Source and Next Update	Strategies
Student outcomes			
1. Increase participation and completion rates of disadvantaged persons through the academic pipeline from middle and high school through postsecondary enrollment.	1.1 **High School completion.** Upward Bound participants (as evidenced by analysis of 9th grade cohorts) will complete high school at higher rates than comparable non-participants. *(Only 66.6 percent of low-income persons graduate from high school. "Postsecondary Education Opportunity," November 1995)* 1.2 **Postsecondary enrollment.** — Upward Bound participants (as evidenced by analysis of 9th grade cohorts) will enroll in postsecondary education programs at higher rates than comparable non-participants. — The ratio of Talent Search and Educational Opportunities Centers (EOC) participants who apply to college and/or apply for student financial aid compared with the numbers served will increase. *(Only 59 percent of high school graduates who are both low-income and first-generation college students enroll in postsecondary education compared to 93 percent of those who are neither low-income or first-generation college students. NELS 88)*	1.1 Mathematica Upward Bound evaluation, 1997 *(graduation rates of Upward Bound participants and comparison group available spring 1997)* TRIO projects' annual performance reports, 1998 1.2 Mathematica Upward Bound evaluation, 1997 *(postsecondary enrollment rates of participants and comparison group available spring 1997);* TRIO projects' annual performance reports, 1998; National Educational Longitudinal Survey 1988 (NELS), 1996	• Redesigned performance reports (some still to be cleared by OMB) will allow OPE staff to better measure the success of funded projects in meeting the goals of the federal TRIO programs. OPE staff will use the data to provide better feedback to grantees on project and student performance that may be used to improve the quality and effectiveness of funded projects. • Further, data obtained from performance reports along with data from the national evaluation studies will provide baseline information on student success rates that can be compared with national data on low-income, first-generation students. • In addition, OPE staff will disseminate information on effective Practices and strategies obtained from OERI research and other national evaluations.

TRIO			
Goal: To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.			
Objectives	Indicators	Source and Next Update	Strategies
2. Increase participation and completion rates of disadvantaged persons through the academic pipeline from middle and high school through community or four year colleges.	**2.1 Postsecondary persistence and completion.** — Upward Bound participants who enroll in postsecondary education will complete 2 or 4 year postsecondary education programs at rates higher than comparable non-participants. — Student Support Services participants will persist and complete 2 or 4 year postsecondary education programs at higher rates than comparable non-participants. — The persistence and graduation rates of Student Supports Services participants will increase. *(55 percent of low-income, first-generation college students who began at two-year schools and 76 percent who began at four-year schools were still enrolled in college in the third year (Beginning Postsecondary Students)* For low-income, first-generation college students participating in the Student Support Services program 61 percent who began at two-year schools and 80 percent who began at four-year schools were still enrolled in college in the third year. (Westat)	2.1 Trio annual performance reports, in conjunction with Title IV Applicant and Recipient System (four-year graduation rates for Upward Bound participants available December 2001) Westat, Inc. data on persistence rates for students still enrolled in college in third year, available July 1996, and completion (graduation) rates, available March 1999 TRIO annual performance reports, 1997 Beginning Postsecondary Students study (BPS) 1990/94 and Westat *(benchmark data available July 1996)*	• See previous strategy.

TRIO

Goal: To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.

Objectives	Indicators	Source and Next Update	Strategies
	Only 15.3 percent of low-income, first-generation college students complete a BA program within 5 years and only 22.3 percent complete an AA program within 5 years. The comparable rates for those who are not low-income, first-generation college students are 32 and 13.4 percent respectively. Beginning Postsecondary Students)		
3. Increase participation and completion rates of disadvantaged persons through the academic pipeline from colleges and universities through graduate school.	**3.1 Graduate school enrollment and completion.** — McNair participants will enroll in and complete graduate and doctoral programs at higher rates than comparable non-participants. — The percentage of McNair participants who enroll in and complete graduate and doctoral programs will increase. *(Only 13.1 percent of low-income, first-generation college students with baccalaureate degrees enroll in graduate school compared with 18.5 percent of those who are not low-income, first-generation college students. Baccalaureate and Beyond)*	3.1 McNair annual performance reports, 1997 *(preliminary enrollment data available late 1997; completion rates for 1989-90 cohort group available March 2001)* Baccalaureate and Beyond survey *(benchmark data available July 1996)*	
Management improvement			

TRIO

Goal: To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.

Objectives	Indicators	Source and Next Update	Strategies
4. Improve service delivery and customer satisfaction and increase communication and information dissemination for the federal TRIO Programs.	4.1 **Burden reduction for applicants and grantees.** Customer survey data will indicate that new program regulations and redesigned application packages reduced burden *(Baseline to be developed from first survey.)*	4.1 Customer survey (PES & OPE), 1998	• OPE has undertaken a number of initiatives to better serve our customers, including: — streamlining the grants award process, — developing new program regulations and application packages to reduce burden, and increase accountability, and — providing increased access to information. • A customer survey planned for fiscal year 1997 will provide baseline information that will be used to measure our progress in meeting these objectives. • Also, the high quality of the Training Program for the federal TRIO Programs will increase the quality and effectiveness of funded projects.
	4.2 **Streamlined grants award process.** The time from receipt of applications to the notification/awards to grantees will be reduced. *(The current average time elapsed is approximately ten months.)*	4.2 Schedule for grant review process, annual, 1997	
	4.3 **Number of information requests.** The amount of information requested by the public, including electronic requests and inquiries, will increase. *(Baseline to be developed.)*	4.3 Annual data on number of customer inquiries (program office, Higher Education Programs assistance line, WWW hits), 1997	
	4.4 **Number of applications.** The number of applications received will increase (competitive years only). *Baselines for applications are as follows:* *—Talent Search, 650 applications, FY1994* *—EOC, 300, FY 94* *—Upward Bound, regular, 820, FY 95* *—Upward Bound, math/science, 212, FY95* *—McNair, 226, FY 95* *—TRIO Training, 32, FY 96* *—Student Support Services, 1,102, FY 97*	4.4 Annual data from ED's Application Control Center, Grants and Contracts Service (in competitive years), 1997	

TRIO

Goal: **To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.**

Objectives	Indicators	Source and Next Update	Strategies
	4.5 **Customer satisfaction.** Customer survey data will indicate improved satisfaction with response to information requests, and the usefulness of the information received. *(Baseline will be developed from first survey.)*	4.5 Customer survey (PES & OPE) annual, 1998	
5. Improve program effectiveness and extend the impact of the federal TRIO programs beyond the funded projects by disseminating information on effective practices.	5.1 **Use of effective practices.** Applications proposing and programs using effective practices will increase. *(Baseline to be developed.)*	5.1 Review of applications and annual reports, annual, 1997	• OPE has undertaken a number of initiatives to improve program effectiveness and increase dissemination of information on effective practices, including: (1) Funding a two-year grant to the National Council of Educational Opportunity Associations (NCEOA) to develop a national clearinghouse of information on effective intervention and opportunity programs for low-income and minority secondary and postsecondary students. (2) Disseminating information on effective practices and strategies obtained from the national evaluation studies of the Student Support Services and Upward Bound Programs and encouraging applicants to include effective practices in new applications. (3) Using the project annual reports for help in identifying effective practices.

TRIO			
Goal: To increase educational participation of disadvantaged students through effective management of the federal Trio Programs.			
Objectives	Indicators	Source and Next Update	Strategies
			(4) Using a strong and effective peer review process to select quality applications for project funding. (5) Providing through grants made under the TRIO Training Program training for over 2000 TRIO personnel per year to improve project management and service delivery. • OPE and the national clearinghouse will track the number of requests for information. Further, a customer survey planned for fiscal year 1997 and subsequent years will provide information on customer satisfaction with the quality and usefulness of the information and training provided.

Please see also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

An ongoing national evaluation of Upward Bound (V.4) has reported the following findings:

- Two effects emerge early on from Upward Bound: (1) Students who participate in the program expect to complete more schooling than similar students who do not. (2) The program has a positive effect on the number of academic courses that participants take during high school.
- The students who benefit most initially are those with lower academic expectations.
- When impacts are examined by racial/ethnic groups, Hispanic students benefit the most from Upward Bound.
- The program shows no impact in the first year on participants' high school grades.
- Many students leave the program in the first year.
- Most Upward Bound projects focus on providing a rich and challenging academic program.

A Closer Look At Specific Findings

Expectations About Continuing in School

During the first year that students participate, Upward Bound bolsters the expectations for continued schooling that they and their parents hold.

- Participants expected to complete almost 0.25 more years of school on average than nonparticipants. Both groups of students typically experienced some decline in educational expectations between the time of application to the program and the follow-up survey. The decline, however, was much larger for the control group.
- According to participants, their parents expected them to complete about .3 more years of schooling than did parents of children in the control group. The expectations of participants' parents changed little; but the expectations of control group parents declined substantially.

Credits Earned

Upward Bound increases the number of high school academic credits students earn during the first year of participation (see Figure 1).

- Participants earned about one credit (Carnegie unit) more than nonparticipants. This impact is quite large when compared with the experiences of a typical high school student, who each year is expected to complete about five academic or elective credits.

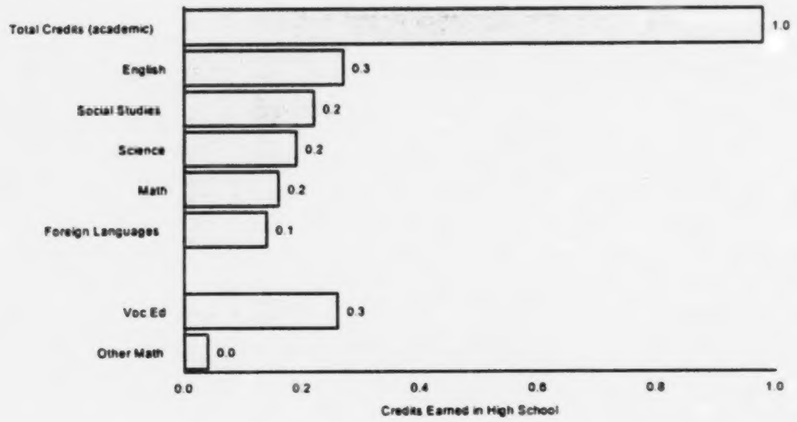
- Participants earned substantially more credits in science, math, English, foreign languages, and social studies than nonparticipants.

- Participants also earned more credits than nonparticipants in vocational education and remedial math courses.

Students Who Benefit Most

Before participating in Upward Bound, almost three-quarters of applicants who are eligible for the program expect to complete at least a four-year college degree. But those who benefit most from Upward Bound are those who do not expect to complete a four-year college degree.

SHORT-TERM IMPACT OF UPWARD BOUND ON
NUMBER OF CREDITS EARNED IN HIGH SCHOOL



- Parents' educational expectations for their children increased when their children started Upward Bound with lower expectations. For example, Upward Bound increased fathers' expectations by 1.2 years for these participants.

- In contrast, parents of children with higher initial expectations for continued schooling neither increased nor decreased their expectations.

In terms of academic preparation, Upward Bound has a large positive impact on the high school credits that students with lower expectations earn in math, English, and social studies.

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- Participants with lower educational expectations gained almost 0.6 more math credit than their counterparts in the control group; did the corresponding figure for students with higher expectations was 0.1 credit.

- Participation in Upward Bound also led to an increase of about 0.8 credit in English and social studies for students with lower expectations and less than 0.1 credit for those with higher expectations.

- Across all academic subjects, Upward Bound increased the number of credits earned by 3.1 for participants with lower expectations and by 0.5 credit for those with higher expectations.

Course taking for the three largest racial/ethnic groups in Upward Bound follows a consistent pattern: Hispanic students routinely experience larger gains from participation than either African American or white students.

- Hispanic students gained more than 2 credits; African American and white students gained less than 0.5 credit.

- Larger gains for Hispanics are apparent in several subjects: math, English, foreign languages, social studies, and vocational education.

First-Year Program Dropouts

Although Upward Bound has a substantial effect on educational expectations and course-taking, the effect could be even larger if more students stayed in the program. Participants who leave Upward Bound in the first year, for example, do not earn as many credits in high school as those who remain. Despite the value that comes from staying, many students do choose to leave Upward Bound in the first year. Furthermore, attrition from Upward Bound may be substantial by the time a group of entering students finishes high school.

- About 32 percent of those who entered Upward Bound before summer 1993 left by the end of the 1993-94 academic year.

- Projections based on the experience of all students in the study suggest that 37 percent of those who participate will leave within the first 12 months.

- The program's dropout rate is very likely to increase at the end of the junior year, when project staff have reported that students are most likely to leave Upward Bound for summer and after-school jobs.

The Academic Challenge of Upward Bound

Most Upward Bound projects offer programs that emphasize academic preparation for college. Although an evaluation conducted in the 1970s by Research Triangle Institute prompted concern that Upward Bound projects did not devote enough time to academic instruction, recent evidence counters this view. The academic intensity of projects is evident from four perspectives.

1. ***Number of Courses Offered.*** Fifty percent of the Upward Bound projects offer more than 17 academic courses in the summer and more than 10 academic courses during the regular school

year. These courses are in addition to the tutoring, academic counseling, study skills, and SAT/ACT test preparation courses that almost all projects provide.

2. ***Nature and Content of Courses.*** More than two-thirds of the projects focus on instruction that is not remedial. These projects either support the curricular content in the college preparatory program of the high school, or they adopt an enrichment focus that teaches content the schools are unlikely to teach. Most projects offer courses that reflect a traditional precollege preparatory curriculum and a wide range of subjects.

3. ***Course Requirements.*** Eighty percent of the projects require students to complete at least six courses in the Upward Bound program. The majority prescribe the set of courses that must be taken. Projects that specify courses fall into two groups. The first, which represents one-third of all projects, emphasizes completing a "foundational" curriculum comprising reading, writing, algebra I and II, and geometry. The second, which represents a slightly larger fraction of projects, has a math/science orientation, with requirements for precalculus, calculus, and science courses in addition to the foundational requirements.

4. ***Intensity of Contact with Students.*** Among first-year participants, the typical number of academic and nonacademic sessions attended was 274. Two-thirds of these sessions took place during the summer and the rest took place during the academic year.

Summing Up

The short-term impacts of Upward Bound, even though they are not evident for every kind of outcome, are both impressive and important. For just one year of involvement, Upward Bound offers real benefits to students. It exposes them to academically challenging courses in addition to those they take in high school. It results in participants, and their parents, holding higher expectations about future education. It leads to participants' earning more academic credits in high school. Moreover, Upward Bound is particularly beneficial for students who initially expect to complete fewer years of education and who come from Hispanic origins.

While these results are promising, they give only a partial view of how well Upward Bound works. Will the initial results endure and become larger as participants graduate from high school and face the challenge of college? Will the grades of participants and other outcomes that have yet to show impacts change as a result of students' involvement in the program? Answers to these questions will come as future reports about long-term program impacts are produced by the national evaluation.

About The Study

The national evaluation of Upward Bound is a six-year, longitudinal study commissioned by the Planning and Evaluation Service of the U.S. Department of Education. The evaluation incorporates data from many sources, including nationally representative samples of regular Upward Bound grantees and their target schools, and a nationally representative sample of students who applied to the program between 1992 and 1994 and were randomly assigned either to Upward Bound or to a control group.[1] Additional data were collected through field visits to a representative sample of 20 Upward Bound projects in the spring and the summer of 1993.

Because of the study design, findings on the impact of Upward Bound are generalizable to all Upward Bound projects hosted by two- and four-year colleges. The design uses a nationally representative sample of 67 Upward Bound grantees at two- and four-year colleges. Of students who were eligible applicants to these 67 projects, the evaluation randomly assigned 1,524 to Upward Bound and 1,320 to a control group. Short-term impacts are based on comparing students in the two groups across a range of measures, including high school grades and course-taking, attitudes and educational expectations, misbehavior in school, and parental involvement. All students completed an initial survey form before they were randomly assigned to Upward Bound or the control group; more than 97 percent responded to a follow-up survey in 1994. Students' high school transcripts also were collected in 1994.

The survey of Upward Bound grantees collected detailed information about project operations and staffing for the 1992-93 year. Questionnaires were mailed to a nationally representative sample of 244 projects, and 92 percent of the questionnaires were returned. The survey of target schools collected information from principals and Upward Bound liaisons in the schools (generally school guidance counselors) on a variety of topics, including the educational climate, availability of precollege programs in the school, contacts with Upward Bound, and perceptions of program effectiveness. Target school questionnaires went to a sample of 754 middle schools and high schools; 96 percent of these schools responded.

Particularly given concerns raised in the past about the academic preparation provided Upward Bound students.

Department of Education plans future data collections to assess the program's long- term impact on college graduation. These plans include an evaluation of the Upward Bound Math-Science initiative.

V. Sources of Information

1. Program files.

2. Graham Burkheimer, John Riccobono, Joseph Wisenbaker, *Final Report: Evaluation Study of the Upward Bound Program--A Second Follow-up*, (Research Triangle Park, NC: Research Triangle Institute, 1979).

3. Steven M. Jung and Applied Systems Institute, *Reanalysis of High School and Beyond Data to Estimate the Impact of Upward Bound* (Washington, DC: Applied Systems Institute, 1984).

4. National Evaluation of Upward Bound, conducted by Mathematica Policy Research; Mary Moore, "A 1990s View of Upward Bound: Programs Offered, Students Served and Operational

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[1] The focus of the national evaluation of Upward Bound is the regular Upward Bound program. Projects funded by the Upward Bound Math/Science initiative or Veterans' Upward Bound projects are not part of the national evaluation.

Issues, November 1996; David Myers and Allen Schirm, "The Short-Term Impact of Upward Bound: An Interim Report."

5. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings from Extant Data" (Rockville, MD: Westat, Inc., 1991).

VI. Contacts for Further Information

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Talent Search
(CFDA No. 84.044)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, Chapter 1, Section 402B, P.L. 96-374, as amended by P.L.102-325 (20 U.S.C. 1070a-11 and 1070a-12) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1967	$2,492,000	1987	$19,606,841
1970	5,000,000	1988	22,228,872
1975	6,000,000	1989	26,012,469
1980	15,300,000	1990	27,034,092
1981	17,113,000	1991	59,576,004
1982	17,057,594	1992	65,720,000
1983	17,057,594	1993	65,219,000
1984	17,628,233	1994	75,000,000
1985	20,728,468	1995	78,412,637
1986	19,606,841	1996	78,394,163

1/ The appropriations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement program, and the Training Program for Special Program Staff and Leadership Personnel.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of Talent Search is to identify qualified youths with potential for postsecondary education, to encourage them to complete secondary school and to enroll in postsecondary education programs, to publicize the availability of student financial aid, and to encourage secondary and postsecondary school dropouts to re-enter an educational program. The program provides funding for nonfinancial services that students may need in order to explore educational options. These activities are intended to encourage the educational advancement of disadvantaged students.

B. Strategies to Achieve the Goals

Services Supported

Like Upward Bound, this program encourages students to graduate from high school and attend some form of postsecondary education. Talent Search also encourages high school and postsecondary dropouts to return to school. Beginning in FY 1989, priority was placed on serving younger students--those in the seventh and eighth grades. In 1993, Talent Search regulations allowed students who had completed at least the fifth grade to be eligible for participation. Talent

Search projects now serve disadvantaged persons who have completed the fifth grade and are between the ages of 11 and 27. In each project, two-thirds of the participants must be low-income persons (from families with incomes less than 150 percent of poverty level) who are also potential first-generation college students.

Central features in Talent Search are the emphasis on community outreach and the heavy reliance on personal, academic, and financial aid counseling. Talent Search provides a limited level of service per participant (per capita expenditure is $263); this contrasts with per capita costs for Upward Bound, which is 14 times greater.

The 319 Talent Search projects funded in FY 1994 provide a range of services to more than 298,147 persons. Services provided by Talent Search projects include:

- Academic or personal counseling;
- Ccareer exploration and aptitude assessment;
- Assistance with the process for reentering into high school or college
- Information on postsecondary education;
- Information on student financial assistance;
- Assistance in completing college applications, making financial aid applications, and preparing for admissions tests;
- Exposure to a range of career options;
- Tutorial services; and
- Attendance at cultural events.

Competitions for funds are held every fourth year. (A project period under Talent Search is four years. However, a project period of five years exists for grantees whose applications score in the highest 10 percent of all applications approved for new grants.) Most grants are made to community-based organizations and institutions of higher education. To promote continuity in the delivery of services, "prior experience" points are given to grant applicants that have conducted a Talent Search project during the three years preceding the competition. Up to 15 points can be awarded for the applicant's prior program performance as a Talent Search grantee. In FY 1994 (the last year in which a competition was held), the program was expanded by making 27 additional grant awards.

Talent Search FY 1996 Awards

Number of new projects	0
Number of continuation projects	319
Average award	$245,750
Number of persons served	298,147
Average federal cost per participant	$263

Strategic Initiatives

Performance reports will be revised to better measure the success of funded projects in meeting the goals of Talent Search. The Department will use the data to give grantees better feedback on project performance that may be used to improve program quality and effectiveness. Data obtained from performance reports will provide baseline information on student success rates that can be compared with national data on low-income, first-generation college students.

The Department developed a revised set of regulations for the Talent Search program. The new regulations increase project accountability for federal funds but allow projects to exercise greater discretion and flexibility in deciding how to deliver services.

C. Program Performance—Indicators of Impact and Effectiveness

Please see the TRIO Program Performance Measures displayed in Chapter 508. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

Table 1
Objective and Performance Indicator for Talent Search

Goal: Ensure access to high-quality post-secondary education and lifelong learning.		
Objective	**Performance Indicators**	**Data Sources/Next Update**
Increase participation and completion rates of disadvantaged persons through the academic pipeline from middle school through graduate school.	The ratio of Talent Search participants who apply to college or apply for student financial aid compared with the numbers served will increase.	Annual performance reports (benchmark data available mid 1998).

The College Board conducted an exploratory study of Talent Search and Educational Opportunity Center programs in 1982-83 (V.2). A research person visited 11 local Talent Search projects and examined the annual performance reports and other program data collected by the Department of Education. The study concluded that it was difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system.

However, in 1993, the Department of Education published a report titled, Design Conference for the Evaluation of the Talent Search Program, (V.3) which contained six papers on issues that should be addressed in the next evaluation. The report also summarized the ideas expressed at a one-day conference where the authors discussed a future evaluation of Talent Search with The Department Education staff and some representatives of outside organizations.

In September 1993 the Department sponsored a small study to develop recommendations about performance indicators and to conduct a literature review of the needs of the target population and interventions that have been effective (V.4 & V.5). The study was intended to help the Department create a standard set of performance criteria that all projects could use to assess their own performance and also provided recommendations for improving the annual performance report form.

In December 1993 the National Council of Educational Opportunity Associations (NCEOA) reported the results of its descriptive study on Talent Search (V.6). The group conducted a survey of project directors to obtain information about project characteristics. The findings show that 59 percent of Talent Search participants are minority, 41 percent of the participants are male, and over half the participants are in the 10th grade or below. Seventy-six percent of Talent Search participants continue their education past high school. The typical student spends 50 hours a year in program activities, at a cost of $5 per hour. The typical Talent Search program has been funded for nine years, and most Talent Search programs are operated by public four-year or two-year colleges. The two most frequently offered programs in Talent Search are career counseling and academic counseling. Four of the most frequently offered program services out of the dozen mentioned involve some form of counseling. The typical staff to student ratio is 1:183.

Each Talent Search grantee is required to maintain its own project-level performance objectives and measures. The extent to which these performance measures are met is reported yearly by the projects on the Department's annual performance report form. Prior experience points are given to grant applicants that have conducted a Talent Search project during the three years preceding the competition. Up to 12 prior experience points can be earned for the extent to which the applicant has achieved the performance goals and objectives as stated in the previously funded application or negotiated program plan.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Paul L. Franklin, Helping Disadvantaged Youths and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

3. Design Conference for the Evaluation of the Talent Search Program (Washington, DC: U.S. Department of Education, Office of Policy and Planning, 1993).

4. Consuelo Arbona, First Generation College Students: A Review of Needs and Effective Interventions (Houston, TX: Decision Information Resources, Inc. prepared for U.S. Department of Education, unpublished, 1994).

5. Report on Talent Search Program Performance Criteria (Houston, TX: Decision Information Resources, Inc. prepared for U.S. Department of Education, unpublished, 1994).

6. John B. Lee, Suzanne B. Clery, and JBL Associates, Pre-College Intervention Programs: A Descriptive Study of Talent Search (Washington, DC: National Council of Educational Opportunity Associations, Center for the Study of Opportunity in Higher Education. 1993).

VI. Contacts for Further Information

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Educational Opportunity Centers
(CFDA No. 84.066)

I. Legislation

Higher Education Act (HEA) of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402F, P.L. 96-374, as amended by P.L. 102-325 (20 U.S.C. 1070a-11 and 1070a-16) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1975	$3,000,000	1988	$11,162,663
1980	7,700,000	1989	11,508,875
1981	8,000,674	1990	11,901,990
1982	7,800,000	1991	19,144,000
1983	7,800,000	1992	20,500,000
1984	8,101,898	1993	20,500,000
1985	9,209,468	1994	24,100,000
1986	8,813,523	1995	24,647,217
1987	9,209,531	1996	24,787,942

1/ The appropriations represent the amount allocated administratively by the Department from funds appropriated jointly for all six federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the Educational Opportunity Centers is to provide information on financial and academic assistance available to qualified adults who want to enroll in postsecondary education and to help them apply for admission. The program provides funding for nonfinancial services that students may need in order to explore educational options. These activities are intended to encourage the educational advancement of disadvantaged persons.

B. Strategies to Achieve the Goals

Services Supported

Educational Opportunity Centers (EOCs) may provide any of the following services:

- Academic, financial, or personal counseling;
- Career exploration and aptitude assessment services;

- Assistance with the process for recently into high school or college;
- Information on postsecondary educational opportunities;
- Assistance in completing applications for college admissions, testing, and financial aid;
- Coordination with nearby postsecondary institutions; and
- Activities designed to involve and acquaint the community with higher education opportunities.

Educational Opportunity Centers, FY 1996

Number of New Projects	0
Number of Continuation Projects	74
Average Award	$334,972
Number of Persons Served	156,686
Average Federal Cost Per Participant	$158

Participants must live in the target area served by the Educational Opportunity Centers, be age 19 or older, and need services in order to pursue postsecondary education. At least two-thirds of the participants must be low-income persons who are also potential first-generation college students. Persons under age 19 may be served by an EOC if there is no Talent Search project in the target area.

Educational Opportunity Centers programs may be sponsored by institutions of higher education, public and private, nonprofit agencies and organizations, or a combination of such entities. To promote continuity in the delivery of services, grantees that have conducted an Educational Opportunity Centers project during the three years prior to the competition receive "prior experience points." Up to 15 points can be awarded for the applicant's prior program performance as an EOC grantee. In FY 1994, the last year in which competition was held, the program was expanded by 12 additional grant awards. Competitions are held every fourth and fifth year. (A project period under EOC is four years. However, a project period of five years exists for grantees whose applications score in the highest 10 percent of all applications approved for new grants).

Strategic Initiatives

Redesigned performance reports will better measure the success of funded projects in meeting the goals of Educational Opportunity Centers. The Department will use the data to give grantees better feedback on project and student performance that may be used to improve program quality and effectiveness. Data obtained from performance reports will provide baseline information on student success rates that can be compared with national data on low-income, first-generation college students.

The Department developed a revised set of regulations for the Educational Opportunity Centers program. The new regulations increase project accountability for federal funds but allow projects to exercise greater discretion and flexibility in deciding how to deliver services.

C. Program Performance—Indicators of Impact and Effectiveness

The Department has developed a performance indicator system for use in monitoring, evaluating, and managing the TRIO programs. The performance indicators focus on student outcomes and management improvement objectives.

Please see TRIO Programs Performance Measures displayed in Chapter 508. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

The College Board studied Educational Opportunity Centers operating in 1982-83 (V.2). They visited six EOCs and examined the annual performance reports and other program data collected by the Department of Education. The researchers concluded that it is difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system, and because no standard definition of "client" exists for recordkeeping and reporting; hence, it has not been possible to measure aggregate program performance. There have been no subsequent evaluations of the Educational Opportunity Centers program. However, redesigned performance reports will make it easier to describe program activities and measure outcome data for each project.

Each Educational Opportunity Center grantee is required to maintain project-level performance objectives and measures. The extent to which these performance measures are met is reported yearly by the grantees on the Department's annual performance report form. Prior experience points can be given to grant applicants that have conducted an Educational Opportunity Center project during the three years preceding a grant competition. Up to 12 prior experience points can be earned, depending on the extent to which the applicant has achieved the performance goals and objectives as stated in the previously funded application or negotiated program plan.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. Paul C. Franklin, Helping Disadvantaged Youth and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

VI. Contacts for Further Information

Program Operations: Frances Bergeron, (202) 708-4804

Program Studies: Michael Fong, (202) 401-7462

Student Support Services
(CFDA No. 84.042)

I. Legislation

Higher Education Act (HEA) of 1965, as amended, Title IV, Part A (20 U.S.C. 1070a-11 and 1070a-14) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1970	$10,000,000	1988	$90,809,664
1975	23,000,000	1989	85,390,077
1980	60,000,000	1990	90,898,662
1981	63,885,326	1991	115,233,304
1982	60,702,406	1992	127,144,000
1983	60,555,892	1993	131,300,000
1984	67,294,974	1994	140,153,000
1985	70,083,664	1995	143,543,694
1986	67,070,000	1996	143,342,084
1987	70,070,000		

1/ The allocations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement Program, and the Training Program for Federal TRIO Programs.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of Student Support Services is to increase the college retention and graduation rates of its participants and facilitate the process of transition from one level of higher education to the next.

B. Strategies to Achieve the Goals

Services Supported

Program participation is directed toward low-income (below 150 percent of the poverty line), first-generation, and disabled college students who need support to successfully pursue programs of postsecondary education. In any project, two-thirds of the participants must be both low-income and first-generation college students or individuals with disabilities. One-third of the disabled participants must also be from low-income families.

A recent Department evaluation of Student Support Services (V.6) reports that:

- 57 percent of the institutions receiving Student Support Service (SSS) grants were four-year institutions (two-thirds of which were public), 41 percent were community colleges, and 2 percent were two-year private colleges;
- 83 percent of project participants attended public institutions; 15.5 percent attended four-year private schools, and 1.5 percent attended two-year private schools;
- 61 percent of project participants were from low-income and first-generation backgrounds, 7 percent were disabled, 7 percent were low-income only, 18 percent were first-generation only, and 6 percent were disabled and low-income;
- 64 percent of project participants were female and 36 percent were male;
- 46 percent of project participants were white, 28 percent were black, 17 percent were Hispanic, 3 percent were Asian, and 6 percent were American Indian/Alaskan Native.

The more than 700 projects currently funded under the SSS program serve over 165,000 postsecondary students across the country. Services provided by SSS programs are academic and nonacademic supplemental services, such as tutoring; academic, career, financial, and personal counseling; instruction in basic skills; services for students with limited English proficiency; cultural enrichment activities; and mentoring.

Table 1

Student Support Services

	FY 1995	FY 1996
Number of continuation projects	706	705
Average award	$203,320	$203,322
Number of persons served	165,561	165,326
Average federal cost per participant	$867	$867

Results from Education Department's evaluation (V.5) show the percentage of student participants who received different types of services. Because the range of services offered varies extensively across projects, different mixes of services are available to SSS participants. Thus, the relatively small percentages of participants shown in Table 2 to be receiving many of the services below may result from the unavailability of those services in some projects. Nevertheless, sizable proportions of the SSS participant population use the two most frequently accessed services, professional counseling and peer tutoring (77 and 47 percent, respectively).

Table 2

Proportion of Student Support Services (SSS) Students Receiving Each Type of Service: 1991-92

Type of Service [1]	SSS Participants
Instructional courses	21.7%
Tutoring (professional)	15.2%
Tutoring (peer)	47.2%
Counseling (professional)	77.5%
Counseling (peer)	11.9%
Labs	13.4%
Workshops	21.9%
Cultural events	7.4%
Services to disabled [2]	2.5%
Sample Size:	4,746

[1] Each student may receive more than one type of service.
[2] Only services specifically designed for disabled students were included in this category. Other services received by students with disabilities were classified under the applicable type of service.

SSS programs may be sponsored only by institutions of higher education or by combinations of institutions of higher education. Each applying institution must assure that each participant will be offered sufficient financial aid to meet her or his full financial need. Competitions for SSS funding are held every fourth year. During the grant period, continuing funding is based on approval of a noncompetitive continuation application.

Grant applicants that have conducted an SSS project during the three years preceding the date of application earn prior experience points. Up to 15 points can be awarded according to the applicant's prior program performance in service delivery. In 1993, 88 percent of current grantees were successful when they recompeted.

Strategic Initiatives

In FY 1991, a program initiative to emphasize transfers from two-year to four-year colleges was implemented . Initially, a total of 221 two-year institutions participated in the initiative, though now this emphasis is a part of the regular grant for all two-and four-year institutions. In July 1996 the Department published a revised set of regulations designed to increase accountability for federal

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funds while allowing SSS grantees to exercise greater discretion and flexibility to make project decisions.

C. Program Performance—Indicators of Impact and Effectiveness

Please see TRIO Programs Performance Measures displayed in Chapter 508. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

As already stated, the primary goal of the SSS program is to increase the participation and completion rates of disadvantaged persons in postsecondary education programs. Findings from Education Department's recently completed evaluation (V.6) indicate that:

- SSS has a positive and statistically significant effect on three separate student outcomes: grade point average, credits earned, and retention. The effects, although modest, usually persist over three years.

- Students' grade point averages were increased by a mean of 0.15 in the first year, 0.11 in the second year, and 0.11 in the first three years combined.

- The number of credits earned was increased by a mean of 1.25 in the first year, 0.79 in the second year, 0.71 in the third year, and 2.25 in the first three years combined.

- Retention at the same institution to the second year was increased by seven percentage points, and by nine percentage points for retention to the third year. Retention to the third year at any higher education institution was increased by three percentage points.

- The impact of the SSS program varied according to the students' level of participation in SSS. Students who participated the most in the program experienced the greatest improvement in outcomes. Nine percent of students had only one service contact in their freshman year; the mean number of hours of services received in the first year was 32, and the median was 14. The mean for upperclassmen was 15 hours, and the median was 6.

- Certain categories of services--peer tutoring, cultural events, workshops, and instructional courses for SSS participants--were particularly effective for improving the three outcome measures.

- The way in which SSS programs were organized was related to student outcomes. Must successful were home-based programs, which offered a center on campus serving a range of student needs, and blended programs, which integrated SSS and other services.

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The Department's evaluation found that outcome measures used by projects to evaluate their own performance, and measures used by the federal government, vary considerably by type of outcome (e.g., grades, passing a course, retention, graduation) and degree of difficulty. No project considers the intensity of services provided to participants.

Continuing assessment and improvement of program management and implementation is a significant goal of all Education Department programs. Findings from the Department's evaluation (V.5) focused on program implementation indicate:

- SSS grants are well targeted. SSS institutions are more likely then other institutions to have predominant minority enrolment, and to admit students with relatively low SAT scores. SSS participants are more likely to come from poor families, have parents who have not completed high school or college, be African American or Hispanic, be older, and have relatively low high school grades and SAT scores.
- SSS schools and other schools show no discernible difference in institutional climate regarding minority relations, at-risk students, or students with disabilities. In general, the SSS project does not appear to be located high enough in the institution's governance structure to affect basic policies.
- Although one objective is for SSS institutions to meet the full financial need of SSS participants, many institutions are unable to do so. Also, many SSS participants do not always receive the best financial aid package available to other students with similar needs.

These findings suggest that stronger links should be established between federal SSS grants and other broad institutional efforts to improve performance and retention of disadvantaged students.

IV. Planned Studies

The Department's evaluation of the Student Support Services program is an ongoing study. Future reports will assess long-term effects of SSS participation on college graduation by following students in the longitudinal study for six years after they entered college, and identify program improvement strategies through in-depth study of the most effective projects. The final report will be available in spring 1999.

V. Sources of Information

1. Program files.

2. Office of the Inspector General, "Results of OIG's Limited Review of the Special Programs for Disadvantaged Students" (Washington, DC: U.S. Department of Education, 1985).

3. Follow-up Evaluation of the Special Services for Disadvantaged Students Program (Santa Monica, CA: Systems Development Corporation, 1983).

4. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings for Extant Data" (Rockville, MD: Westat, Inc., 1991).

5. Interim Report on Evaluation of the Student Support Services Program(Rockville, MD: Westat, Inc., 1994).

6. National Study of Student Support Services: Third-Year Longitudinal Study Results and Program Implementation Update (Rockville, MD: Westat, Inc., 1997)

VI. Contacts for Further Information

Program Operations:	Frances Bergeron, (202) 708-4804
Program Studies:	Andrew Lauland, (202) 401-3518

Training Program for Federal TRIO Programs
(CFDA No. 84.103)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A (20 U.S.C. 1070a-11 and 1070a-17) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1978	$2,000,000	1988	$1,229,179
1980	2,000,000	1989	1,279,181
1981	1,000,000	1990	1,547,790
1982	960,000	1991	2,236,000
1983	960,000	1992	2,000,000
1984	960,000	1993	1,866,661
1985	1,302,975	1994	2,000,000
1986	957,000	1995	2,016,203
1987	1,006,000	1996	3,313,251

1/ These figures represent the amount allocated administratively by the Department from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement Program, and the Training Program for Federal TRIO Programs.

III. Analysis of Program Performance

A. Goals and Objectives

The goal is to provide training for staff and leadership personnel who are employed in, or are preparing for employment in, the Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, and Ronald E. McNair Postbaccalaureate Achievement Program, and the Training Program for Special Programs Staff Leadership Personnel.

B. Strategies to Achieve the Goals

Services Supported

This program provides funding to enhance the management, leadership, and accounting skills and expertise of project directors and staff employed in the six Federal TRIO programs.

The program supports conferences, seminars, internships, workshops, and in-service training programs to improve the skills of staff and leaders. Training topics include student financial aid, project management for new directors, legislative and regulatory requirements, design and operation of model programs, retention and graduation strategies, counseling, and reporting student and project performance (i.e., tracking student performance). Training includes manuals and other written materials that the trainees retain for future reference and use in training other project staff members.

The projects funded in FY 1996 will provide training to an estimated 2,940 persons. The trend in the training program has been toward the development of proposals focused on regional rather than nationwide training workshops.

	FY 1995	FY 1996
Number of new projects	12	16
Number of continuation projects	12	16
Average award	$168,016	$207,078
Number of persons served	1,842	2,940
Average federal cost per participant	$1,095	$1,127

Strategic Initiatives

Consistent with Government Performance Results Act (GPRA) performance objectives to improve program effectiveness and dissemination of information about promising practices, spending for professional development of TRIO personnel increased 64 percent in FY 1996.

C. Program Performance—Indicators of Impact and Effectiveness

Please see the TRIO Program Performance Measures displayed in Chapter 508. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

Performance reports submitted by grantees in November 1996 are currently being analyzed. These reports contain information on the number of TRIO personnel trained and their satisfaction with services received.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: Frances Bergeron, (202) 708-4804

Program Studies: David Goodwin, (202) 401-0263

Ronald E. McNair Postbaccalaureate Achievement Program (CFDA No. 84.217)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, Chapter 1, Section 402E (20 U.S.C. 1070a-11 and 1070a-15) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/
1989	$1,482,000
1990	3,000,000
1991	4,944,000
1992	576,000
1993	9,598,000
1994	11,900,000
1995	19,082,217
1996	19,816,607

1/ The appropriations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement Program, and the Training Program for Special Programs Staff and Leadership Personnel.

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the McNair Postbaccalaureate Achievement Program is to improve the rates of access and participation in doctoral programs by providing assistance to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. The program primarily provides funding for nonfinancial services and stipends that students may need in order to engage in research opportunities and enter graduate programs that lead to a Ph.D. These activities are intended to encourage the educational advancement of disadvantaged students by providing effective preparation for doctoral study.

B. Strategies to Achieve the Goals

Services Supported

The 99 projects currently funded under the McNair program provide a range of support services such as opportunities for research, summer internships, tutorial services, academic counseling, seminars, assistance in obtaining student financial aid, assistance in securing admission for enrollment in

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graduate programs, mentoring, and participation in cultural events. Students may also receive stipends of up to $2,400 a year if they have completed their sophomore year and are engaged in research. Program participation is limited to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. In any given project, two-thirds of the participants must be both low-income and first-generation college students. Participants must be enrolled in an undergraduate program at an eligible institution of higher education. In FY 1995, the Department selected institutions representing 37 states, the District of Columbia, and Puerto Rico. Competitions for funding are held every four years, with the next cycle occurring in FY 1999. Grant applicants that have conducted a McNair project during the three years preceding the competition receive "prior experience" points.

McNair Program FY 1996

Number of new projects	0
Number of continuation projects	99
Average award	$200,000
Number of persons served	2,475
Average federal cost per participant	$7,897

Strategic Initiatives

Redesigned performance reports will better measure the success of funded projects in meeting the goals of the McNair Postbaccalaureate Achievement Program. The Department will use the data to give grantees better feedback on project and student performance that may be used to improve program quality and effectiveness. Data obtained from performance reports will provide baseline information on student success rates that can be compared with national data on low-income, first-generation college students.

C. Program Performance—Indicators of Impact and Effectiveness

Please see the TRIO Program Performance Measures displayed in Chapter 508. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

The McNair performance report will collect data on individual students and will follow current and former McNair participants through completion of undergraduate studies and enrollment in and completion of graduate programs. Data on individual participants will be collected beginning late 1997. Completion rates for the 1989-90 cohort will be available March 2001. These are the first McNair participants tracked 10 years after program entry.

IV. Planned Studies

None.

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V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Frances Bergeron, (202) 708-4804
Program Studies:	Michael Fong, (202) 401-7462

National Early Intervention Scholarships and Partnerships
(CFDA 84.138)

I. Legislation

The Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, Chapter 2 (20 U.S.C. 1070a-23) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1994	$1,875,000
1995	3,108,000
1996	3,108,000

III. Analysis of Program Performance

A. Goals and Objectives

The National Early Intervention Scholarship and Partnership program (NEISP) awards one-year discretionary grants to states, which can be continued for up to four additional years, to encourage low-income students to get onto a college-bound track. These awards provide support services and the financial assistance necessary for them to attend college.

B. Strategies to Achieve the Goals

Services Supported

The early intervention component gives incentives to states, in cooperation with local education agencies, colleges, community organizations, and businesses, to provide outreach and support services to low-income elementary, middle-school, and secondary school students who are at risk of dropping out of school. States are authorized to enter into agreements with eligible students, starting as early as preschool, under which the students agree to achieve certain academic milestones in return for "guaranteed" tuition assistance for college from the state for a specified period of time. Each state must use between 25 and 50 percent of its annual allotment for this component, although the Secretary has the authority to waive this requirement.

The scholarship component requires states to establish financial assistance programs for eligible low-income students who have received high school diplomas and who have participated in either the states early intervention program or in the federal TRIO programs, unless the Secretary waives the use of federal funds for this requirement. These students would receive at least 75 percent of the average cost of attendance for an in-state student at a four-year public institution or the maximum Pell Grant for the fiscal year, whichever is less.

In FY 1995, three new grants were awarded, totaling $744,000, averaging $248,000. In FY 1996, no new grants were awarded, but there were nine continuation grants. Average continuation grants were $ 345,000 in 1996 vs. $369,000 during the previous year.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Dan Sullivan, (202) 708-8242
Program Studies:	Dan Morrissey, (202) 401-3619

Fund For The Improvement Of Postsecondary Education (CFDA No. 84.116)

I. Legislation

Higher Education Act (HEA) of 1965, Title X, Part A, Sections 1001-1004, 1011 and Title XI, Part B (20 U.S.C. 1135, 1135a-11 and 1137-1137a) (expires September 30, 1997) .

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$10,000,000	1988	$13,117,000
1975	11,500,000	1989	13,310,000
1980	13,500,000	1990	13,183,000
1981	13,500,000	1991	16,103,000
1982	11,520,000	1992	16,463,000
1983	11,710,000	1993	28,220,000[1]
1985	12,710,000	1994	18,808,000[2]
1986	12,163,000	1995	20,326,000[3]
1987	13,700,000	1996	15,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The Fund for the Improvement of Postsecondary Education (FIPSE) provides grants to support innovative projects that will encourage the reform and improvement of postsecondary education and student participation in community service projects.

Specific objectives are as follows:

- Increase participation and completion rates of students in postsecondary education;

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[1] This figures includes funds that were directed by Congress to be spent through programs authorized elsewhere in the HEA: $3,472,000 for the Eisenhower Leadership Program (Title X, Part D); $4,960,000 for Early Childhood Education and Violence Counseling (Title V, Part F, Subpart 5); and $2,480,000 for Minority Teacher Recruitment (Title V, Part E, Subpart 2).

[2] This includes $500,000 for the Student Financial Aid Database and Information Line; $700,000 for a study of civilian aviation training; and $1 million for demonstration grants for critical language and area studies.

[3] This includes funds that were directed by Congress to be spent through other programs: $1,365,000 for Minority Faculty Recruitment and $1 million for Critical Foreign Languages.

- Enable advancements in institutional performance and the quality of teaching; and
- Encourage international cooperation, student exchanges, and partnerships among higher education institutions and other organizations.

B. Strategies to Achieve the Goals

Services Supported

FIPSE grants are awarded through a competitive process. Applications are reviewed by FIPSE staff and external reviewers from the higher education community.

In FY 1996, FIPSE made awards under three programs, the main one being the Comprehensive Program. The other two were the Targeted Competition: Joint U.S- E.U. Consortia for Cooperation in Higher Education and Vocational Training, and the Targeted Competition: Program for North American Mobility in Higher Education.

Annual invitational priorities for the Comprehensive Program are set by FIPSE with the advice of the FIPSE National Advisory Board. The FY 1996 award priorities for the Comprehensive Program were reforming the curriculum, improving the educational climate on campus, reducing racial tension, promoting international education, combining subject mastery with teaching techniques in teacher education, assessing of learning and financial reforms and their effects on quality and access, linking education and the economy, and promoting new applications of technology. Eligible entities and two- and four-year colleges and universities (accredited and nonaccredited), community organizations, libraries, museums, nonprofit trade and technical schools, unions, consortia, student groups, local government agencies, nonprofit corporations, and associations.

In FY 1996 the Comprehensive Program supported 208 grants on a wide range of issues including curriculum reform; access to retention in, and completion of postsecondary education; restructuring institutions; improvement of campus climate; faculty development; teacher training; graduate and professional education; international education; education and the workforce; and educational technology. Funding for the program was $14,318,077.

In FY 1996 there were two targeted competitions. The first was the Joint U.S.- E.U. Consortia for Cooperation in Higher Education and Vocational Training, funded at $389,220. Eight awards were made. The second was the Program for North American Mobility in Higher Education, funded at $206,603. Nine awards were made.

Strategic Initiatives

To increase the effectiveness of FIPSE programs, the FIPSE Program Book and *Lessons Learned*, an annual publication on the most promising outcomes of FIPSE-funded projects, will be widely disseminated via the World Wide Web (along with all current publications and guidelines). Numerous hard copies of these publications have been printed and distributed.

To encourage the institutionalization of FIPSE programs, program staff scrutinize institutionalization strategies prior to award and during the initial years of the grant, and conduct workshops on institutionalization strategies during the project directors' meeting. FIPSE also shares innovative institutionalization strategies via its Web site.

To increase the leverage of grant funds and outside sources of support during or after FIPSE funding for a project ends, workshops on strategies are also offered during the annual project directors' meeting.

To improve service delivery and customer satisfaction with FIPSE programs, greater use will be made of e-mail and bulletin board discussions.

FIPSE will continue to provide full technical assistance to prospective grantees and feedback to all unsuccessful applicants.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are under development. Both of the targeted programs are now being evaluated by an outside contractor. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

During FY 1997 FIPSE will develop plans for a program evaluation, which will occur during FYs 1997 and 1998. This evaluation will address evidence of FIPSE program accomplishments in the United States - European Union and North American exchange programs. The Disseminating Proven Reforms Program, which was funded in FY 1995, will also be evaluated to measure the diffusion of successful practices to other sites and the effectiveness of this specific model for program dissemination.

An evaluation of outcomes is required of all grantees as part of their progress reports and final reports. These evaluations are analyzed annually, and information on the most promising outcomes is included in a subsequent issue of a FIPSE report titled *Lessons Learned*.

V. Sources of Information

1. Program files.

2. Surveys of funded projects.

3. *Lessons Learned*: FIPSE prepares this annual publication, which draws on information from final reports of projects and from questionnaires of grantees. Volume I, which includes projects finished by 1988, was released in fall 1990; Volume II, which includes projects that finished between 1988 and 1991, was released in September 1993 Volume III, which includes projects finished between 1992 and 1994, was released in August 1996; Volume IV which includes projects that finished between 1994 and 1997 will be release in August 1998.

4. The FIPSE Web page: http://www.ed.gov/prog_info/FIPSE contains information on FIPSE competitions, technical assistance publications, and descriptions of all projects currently funded through FIPSE.

VI. Contacts for Further Information

Program Operations:	Sandra L. Newkirk (202) 708-5750
Program Studies:	Steven Zwillinger, (202) 401-1678

Strengthening Institutions Program
(Title III, Part A)
(CFDA No. 84.031)

I. Legislation

Higher Education Act (HEA) of 1965, Title III, Part A, amended by P.L. 102-325 (20 U.S.C. 1051-1059b) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1987	$75,467,000	1992	87,831,000
1988	60,060,000	1993	86,257,000
1989	77,459,000	1994	88,586,000
1990	82,911,000	1995 2/	80,000,000
1991	87,830,000	1996	55,450,000

1/ The Title III discretionary program was first authorized in FY 1966. In FY 1986 the discretionary portion became Part A, the Part B formula grant for HBCUs was added, and the endowment grant became Part C.

2/ Beginning in FY 1995, Hispanic-serving institutions were funded separately under Section 316 of Part A (see Chapter 517).

III. Analysis of Program Performance

A. Goals and Objectives

This program is intended to help institutions of higher education that serve significant percentages of needy students with limited financial resources become financially self-sufficient.

B Strategies to Achieve the Goals

Services Supported
When the appropriation equals or exceeds $60.5 million, 25 percent of the funds in excess of $60.5 million must be made available to institutions that enroll at least 60 percent minority students. The distribution of Part A funds to institutions has remained relatively constant since FY 1994 (see Table 1).

- In the three years shown in Table 1, most of the funds went to two-year public institutions (approximately 66 percent) and to predominantly white institutions (79 percent).

Table 1

Strengthening Institutions Program Obligations by Institutional Racial/Ethnic Identification and Institutional Type and Control, FYs 1994, 1995, and 1996

	FY 1994			FY 1995			FY 1996		
Institutional Racial/Ethnic Identification [1]	Number of Awards	Obligations [2]	% of Total Dollars	Number of Awards	Obligations [2]	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Predominantly Black	12	$4,819,330	5.5%	11	$3,984,876	5.0%	10	$2,772,500	5.0%
White	220	73,066,626	82.7%	172	62,164,069	78.0%	149	43,836,900	79.1%
American Indian	4	1,510,241	1.7%	10	4,781,851	6.0%	8	2,186,600	3.9%
Asians/Pacific Islanders	3	958,299	1.1%	6	2,390,926	3.0%	6	1,663,500	3.0%
Hispanic	22	8,006,203	9.1%	19	6,375,802	8.0%	18	4,990,500	9.0%
Total	261	$88,360,699	100.0%	218	$79,697,524	100.0%	191	$55,450,000	100.0%
Type and Control									
4-year Private	50	$15,717,648	17.8%	42	$15,939,505	20.0%	41	$12,199,000	22.0%
4-year public	26	8,638,371	9.8%	20	7,172,777	9.0%	16	4,436,000	8.0%
2-year private	10	3,192,592	3.6%	9	3,187,801	4.0%	8	2,218,000	4.0%
2-year public	175	60,812,088	68.8%	147	53,397,341	67.0%	126	36,597,000	66.0%
Total	261	$88,360,699	100.0%	218	$79,697,424	100.0%	191	$55,450,000	100.0%

[1] Predominant racial/ethnic categories are institutions where more than 50 percent of students are of that racial/ethnic category.

[2] $225,000 in FY 1994 and $228,000 in FY 1995 was used for field readers.

- Historically black colleges and universities (HBCUs) that receive funds under Part B may not receive funds under Part A. Because HBCUs receive more funds through Part B than they could under Part A, no HBCU chose to participate in Part A (see Chapter 518).

The Strengthening Institutions Program supported competitions for two types of discretionary grants: one-year planning grants and five-year development grants. Institutions could use their funds to plan, develop, and implement activities for faculty and academic program development, funds and administrative management, joint use of libraries and laboratories, acquisition of equipment to be used in strengthening fiscal management and academic programs, and student services.

To apply for a grant, an institution must meet basic eligibility requirements. Basic eligibility requires that an institution grant bachelor's or associate's degrees and be accredited or be making reasonable progress towards accreditation.

In addition, to be eligible to compete in Part A, institutions show that they enroll substantial percentages of needy students and have limited financial resources. The definition of needy student is the percentage of students receiving Pell Grants enrolled at an institution; financial resources are defined by education and general (E&G) expenditures per full-time-equivalent student. Each year, cut-off values are published for both measures, and institutions with relatively high Pell Grant participation rates and relatively low E&G expenditures per student are eligible to compete for funds. There are several allowable waivers to these requirements, for which written justification is needed.

Strategic Initiatives

An annual national workshop sponsors technical assistance workshops to improve continuation applications and projects. In FY 1995 a regional technical assistance workshop also was held.

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing the performance indicators that will be used to assess the program's performance. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

An evaluation of the Title III programs began in FY 1996.The purpose of the evaluation is to develop a system of performance indicators. The four evaluation goals are to (1) define program goals in measurable terms, (2) determine how federal management activities contribute to program goals, (3) determine how institutional activities contribute to program goals, and (4) establish an annual progress report.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Jowava M. Leggett, (202) 708-8816
Program Studies:	Jim Maxwell, (202) 401-3630

Strengthening Hispanic-Serving Institutions
(Title III, Part A)
(CFDA No. 84.031)

I. Legislation

Higher Education Act (HEA) of 1965, Title III, Part A, Section 316, Hispanic-serving Institutions (HSIs), amended by P.L. 102-325 (20 U.S.C. 1051-1059b) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation
1995	$12,000,000	1996	$10,800,000

1/ The HSI program was first funded in FY 1995.

III. Analysis of Program Performance

A. Goals and Objectives

This program is intended to provide grants and related assistance to Hispanic-serving postsecondary institutions, to enable such institutions to improve and expand their capacity to serve Hispanic and low-income students.

B. Strategies to Achieve the Goals

Services Supported

The Hispanic-serving Institutions Program supports an annual funding competition for discretionary five-year development grants. Institutions may use their funds to plan, develop, undertake, and carry out activities to (1) purchase, rent, or lease scientific or laboratory equipment for educational purposes, including instructional and research purposes; (2) renovate and improve classroom, library, laboratory, and other instructional facilities; (3) support exchanges, development and fellowships to assist faculty in attaining advanced degrees in their field of instruction; (4) develop curriculum and academic instruction; (5) purchase library books, periodicals, microfilm, and other educational materials; (6) improve funds and administrative management, and acquire equipment for use in strengthening funds management; (7) promote joint use of facilities such as laboratories and libraries; and (8) support academic tutoring and counseling programs and student support services.

To apply for a grant, an institution must meet basic eligibility requirements. Basic eligibility requires that an institution grant bachelor's or associate's degree and is accredited or making reasonable progress towards accreditation.

In addition, to be eligible to compete under Part A, institutions must show that they serve substantial numbers of needy students and have limited resources. Need is defined by the percentage of students receiving Pell Grants enrolled at an institution, and resources is defined by the education and general

(E&G) expenditures per full-time equivalent student. Each year, cut-off values are published for both measures, and institutions with relatively higher Pell Grant participation rates and relatively low E&G expenditures per student are eligible to compete for funds. There are several allowable waivers which require written justification.

In addition to meeting the Part A eligibility requirements, an institution must have an enrollment of Hispanic undergraduate full-time equivalent students that exceeds 25 percent. At least 50 percent of those Hispanic students must be low-income and first generation students. "Low income" means that the family's taxable income the preceding year did not exceed 150 percent of the poverty level as determined by the Bureau of the Census.

Priority is given to institutions that give satisfactory evidence that they have extended or will enter into a collaborative arrangement with a local education agency to reduce Hispanic dropout rates, improve Hispanic rates of academic achievement, and increase the enrollment rates of Hispanic high school graduates in higher education.

Strategic Initiatives

Annual national workshops and five regional workshops were held in 1995 and 1996.

STRENGTHENING HISPANIC-SERVING INSTITUTIONS
PROGRAM OBLIGATIONS BY TYPE AND CONTROL
FYs 1995 and 1996

	FY 1995			FY 1996		
Type and Control	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
4-year private	7	$2,388,906	20.0%	7	$1,967,067	18.2%
4-year public	8	2,609,481	21.9%	8	2,232,342	20.7%
2-year private	0	0	0.0%	0	0	0.0%
2-year public	22	6,934,213	58.1%	22	6,600,591	61.1%
Total	37	$11,932,600	100.0%	37	$10,800,000	100.0%

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing the performance indicators that will be used to assess the program's performance. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

An evaluation of the Title III programs began in FY 1996.The purpose of the evaluation is to develop a system of performance indicators. The four evaluation goals are to (1) define program goals in measurable terms, (2) determine how federal management activities contribute to program goals, (3) determine how institutional activities contribute to program goals, and (4) establish an annual progress report.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Jowava M. Leggett, (202) 708-8816
Program Studies:	Jim Maxwell, (202) 401-3630

Strengthening Historically Black Colleges and Universities (Title III, Part B) (CFDA No. 84.031B)

I. Legislation

Higher Education Act (HEA) of 1965, Title III, Part B, P.L. 96-374, as amended by P.L. 99-498, P.L. 100-50, and P.L. 102-325 (20 U.S.C. 1060-1063c) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1987	$51,741,000	1992	$111,731,000
1988	73,162,000	1993	109,709,000
1989	84,422,000 1/	1994	116,719,000
1990	95,366,000	1995	128,596,000
1991	99,541,000	1996	128,596,000

1/ $4,500,000 was appropriated in FY 1989 for construction of a Health and Human Resources Center at Voorhees College.

III. Analysis of Program Performance

A. Goals and Objectives

To strengthen Historically Black Colleges and Universities (HBCUs) so they may continue their unique role of educating black, educationally disadvantaged, and low-income students.

B. Strategies to Achieve the Goals

Services Supported

The distribution of Part B funds to institutions has remained relatively constant (see Tables 1 and 2).

- Support for HBCUs increased 10 percent from FY 1994 to FY 1995, from $117 million to $129 million.

Table 1
Obligations by Institutional Type and Control FYs 1994, 1995, and 1996

Type and Control	FY 1994			FY 1995			FY 1996		
	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
4-year private	44	$38,884,512	33.3%	44	$41,008,805	31.9%	42	$39,887,439	31.0%
4-year public	39	$51,246,356	43.9%	39	$56,428,265	43.9%	39	$56,756,609	44.1%
2-year private	6	$3,000,000	2.6%	6	$3,000,000	2.3%	5	$2,500,000	1.9%
2-year public	11	$7,729,132	6.6%	11	$8,552,930	6.7%	11	$9,845,949	7.7%
Graduate	16	$15,859,000	13.6%	16	$19,606,000	15.2%	16	$19,606,000	15.2%
Total	116	$116,719,000	100.0%	116	$128,596,000	100.0%	113	$128,595,997	100.0%

Table 2

Number of Institutions by Size of Award

FY	$350,000-500,000	$500,001-1,000,000	$1,000,000+	Total	Average Award
1987	57	45	1	103	$502,339
1988	23	67	11	101	724,376
1989	21	68	14	103	776,475
1990	17	58	28	103	925,883
1991	17	51	35	103	966,415
1992	13	46	45	104	1,074,335
1993*	26	30	49	105	1,044,848
1994	34	35	47	116	1,066,198
1995	34	28	54	116	1,108,586
1996	27	26	60	113	1,138,017

*Minimum award increased from $350,000 to $500,000 in FY 1993.

- In FY 1992, 13 institutions received $350,000, the minimum level for awards at that time. Some of these schools have fewer than 200 students, resulting in an award per student in excess of $1,750. In FY 1993, 26 institutions received the new minimum award level of $500,000, resulting in awards exceeding $2,500 per student at some schools.

- Over the 10-year period of funding (1987-'96), there has been an increase in the size of awards received through the program. This is shown by the increase of awards exceeding $1 million, from 1987 to 1996, when the number of awards over $1 million increased from 1 to 60.

The Strengthening Historically Black Colleges and Universities Program has two components:

1. Strengthening Historically Black Colleges and Universities is a formula grant program designed to help improve the programs and management of HBCUs and to enhance educational opportunities for students. It is also intended to facilitate a decrease in reliance on government financial support and to encourage reliance on endowments and private sources. Part B funds may be used to establish or strengthen the physical plants, faculty support, academic instruction, student services, funds development, financial management, academic resources, and endowments of HBCUs. Up to 50 percent of the funds may be used for construction or maintenance.

   A Part B eligible institution is any accredited, legally authorized HBCU that was established prior to 1964 with the principal mission of educating of black Americans. A list of HBCUs was published in the Federal Register of July 20, 1993. The appropriation is allotted among HBCUs according to the number of Pell Grant recipients among currently enrolled students (50 percent), number of graduates (25 percent), and percentage of graduates attending graduate or professional school in degree programs in which blacks are underrepresented (25 percent). The statute provides for a $500,000 minimum allotment for each eligible institution.

2. The Strengthening Historically Black Graduate Institutions Program provides grants to the following five postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Atlanta University, and Tuskegee Institute of Veterinary Medicine. All institutions are required to match award amounts in excess of $500,000, except for Morehouse School of Medicine, which is authorized to receive $3 million. The Higher Education Amendments of 1992 provide for awards to the five originally funded institutions and authorizes awards to 11 additional historically black graduate and professional institutions should the program appropriations exceed $12 million. The 11 additional graduate and professional institutions were granted minimum awards of $500,000 each in FY 1995 and 1996. Graduate institutions may use these grants for the same purposes as undergraduate HBCUs; and, they may establish an endowment or a development office to increase contributions from private sources.

Strategic Initiatives

Technical assistance workshops were held to improve continuing applications and projects. In addition, technical assistance was provided at a national workshop and during monitoring visits.

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing performance indicators that will be used to assess the program's performance. Program staff believe that the most appropriate indicators would be the number and percentage of institutional activities' objectives achieved and subsequently the number and percentage of projects institutionalized. These indicators could focus on attrition rates, transfer rates from four-year college graduates continuing on to graduate school, the development of new curricula, the implementation of improved and effective teaching styles, and improved management capabilities, among others. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

An evaluation of the Title III programs began in FY 1996. The purpose of the evaluation is to develop a system of performance indicators. The four evaluation goals are to (1) define program goals in measurable terms, (2) determine how federal management activities contribute to program goals, (3) determine how institutional activities contribute to program goals, and (4) establish an annual progress report.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Jowava M. Leggett, (202) 708-8816
Program Studies:	Jim Maxwell, (202) 401-3630

Endowment Challenge Grants
(Title III, Part C)
(CFDA No. 84.031)

I. Legislation

Higher Education Act (HEA) of 1965, Title III, Part C, P.L. 96-374, as amended by P.L. 99-498, P.L. 100-50, and P.L. 102-325. (20 U.S.C. 1065a) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$7,120,000 1/	1991	17,461,773
1985	15,600,000	1992	7,500,000
1986	22,210,000	1993	7,366,000
1987	19,785,000	1994	7,565,000
1988	19,148,000	1995	8,060,000
1989	12,696,000	1996	0
1990	17,893,000		

1/ Endowment appropriation only; does not include the previously funded challenge grant program. The Endowment Challenge Grant Program was first funded in FY 1984.

III. Analysis of Program Performance

A. Goals and Objectives

This program to increase endowments and develop the capacity to raise endowments at higher education institutions that have limited financial resources and serve significant percentages of low-income and minority students.

Table 1

Endowment Challenge Grants Program Obligations by Institutional Racial/Ethnic Identification and Institutional Type and Control

FYs 1993, 1994, and 1995

	FY 1993			FY 1994			FY 1995		
Institutional Racial/Ethnic Identification[1]	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards[2]	Obligations	% of Total Dollars
Black	4	$1,800,000	25.0%	5	$1,932,750	25.4%	4	$2,000,000	25.0%
White	13	5,400,000	75.0%	12	5,673,750	74.6%	8	4,000,000	50.0%
Indian	0	0	0.0%	0	0	0.0%	1	500,000	6.3%
Asians/Pacific Islanders	0	0	0.0%	0	0	0.0%	1	500,000	6.3%
Hispanic	0	0	0.0%	0	0	0.0%	2	1,000,000	12.5%
Total	17	$7,200,000	100.0%	17	$7,606,500	100.0%	16	$8,000,000	100.0%
Type and Control									
4-year private	4	$1,800,000	25.0%	1	$500,000	6.6%	4	$2,000,000	25.0%
4-year public	1	500,000	6.9%	3	1,382,750	18.2%	1	500,000	6.3%
2-year private	0	0	0.0%	0	0	0.0%	2	1,000,000	12.5%
2-year public	12	4,900,000	68.1%	13	5,723,750	75.2%	9	4,500,000	56.3%
Total	17	$7,200,000	100.0%	17	$7,606,500	100.0%	16	$8,000,000	100.0%

[1] Predominant racial/ethnic categories are institutions where more than 50 percent of students are of that racial/ethnic category. HBCUs are defined as colleges founded before 1994 for the purpose of educating black Americans.

[2] The number of awards represent potential grantees who have been selected to become grantees after completing the fundraising campaign for matching funds requirements.

B. Strategies to Achieve the Goals

Services Supported

Analysis of Table 1 reveals the following concerning the distribution of Part C funds:

- Most of the funds, 68 percent or more, went to two-year schools in FY 1993 through FY 1995. Most of these schools are also white institutions.

- Support for historically black colleges and universities (HBCUs) increased when the legislative set-aside of 25 percent was established in FY 1993 and has continued at 25 percent of the funds.

- After two years with no funds, Hispanic institutions received two awards in FY 1995.

Endowment Challenge Grants encourage eligible institutions to establish or increase institutional endowment funds. The federal grant and the institution's matching funds (which together make up the endowment corpus) must be invested in low-risk securities, such as federally insured bank savings account or a comparable interest-bearing account, certificate of deposit, money market fund, or mutual fund. For a 20-year period after the grant is awarded, institutions may not spend the endowment corpus but may spend up to one-half of the interest earned on any institutional expense.

Two-year, four-year, or graduate institutions that are eligible for Part A, Part B, or Part B Sec. 326 grants (see chapters 516 through 518) are also eligible for endowment challenge grants. Institutions are also eligible if they make a substantial contribution to graduate or postgraduate medical educational opportunities for minorities and the economically disadvantaged. Institutions that receive an endowment grant must wait five years before receiving another grant. The minimum grant must be at least $50,000, and the maximum grant may be $500,000; $1.0 million; or $1.5 million depending on the appropriation. These grants require one matching institutional dollar for every two federal dollars. As of FY 1993, 25 percent of funds are set aside for HBCUs. The program has three years to obligate fiscal year funds. Most of the funds are obligated in the appropriation year, but if an institution fails to match, the funds are reallocated to other institutions.

Table 4

Initial Investmenat and Investment as Reported in the Latest Annual Report by Year

FY	Grants	Initial Investment	Current Investment
84	35	$14,270,552	$26,764,645
85	58	$32,124,490	$40,857,005
86	79	$42,337,160	$58,070,876
87	32	$31,453,108	$39,089,995
88	37	$31,832,865	$37,876,563
89	21	$22,160,292	$26,964,222
90	21	$29,458,014	$32,043,188
91	15	$27,593,632	$27,605,797
92	20	$15,000,000	$15,000,000
93	18	$10,773,000	$10,773,000
94	16	$11,149,125	$11,149,125
95	1	$750,000	$750,000
Total	353	$268,902,238	$326,944,416

Table 2 shows that the total endowment invested as of spring 1996 exceeds $326 million. The invested value is based on the last institutional report available and because many institutions fail to report annually, the actual total value is likely to be much higher. The table shows that the endowment value has grown from its initial value in all categories, both institutional and racial/ethnic.

Table 2 also shows that many schools received more than one grant, so that as of spring 1996, 244 schools had received 353 grants.

Table 2

Total Endowment and Current Endowment Value by Institutional Characteristics as of May 1996

		Grants	Schools	Institutional Match	Grant Amount	Total	Current Endowment Value
Ethnicity/ Predominate Race	White	195	151	$61,602,663	$87,451,812	$149,054,475	$167,427,800
	Historically Black	115	69	31,766,211	37,882,597	69,648,808	89,800,493
	Native American	4	4	2,722,984	4,945,968	7,668,952	10,660,529
	Hispanic	32	17	14,885,001	20,270,002	35,155,003	49,206,923
	Puerto Rico	27	13	11,860,000	14,870,000	26,730,000	38,265,184
	Other Hispanic	5	4	3,025,001	5,400,002	8,425,003	10,941,739
	Asian	4	2	2,125,000	2,750,000	4,875,000	7,120,173
	Predominately Black	3	1	1,250,000	1,250,000	2,500,000	2,728,498
Type and Control	2year Public	150	119	45,094,690	68,341,819	113,436,509	126,118,939
	2-year Private	37	19	13,829,352	16,429,363	30,258,715	35,101,942
	4-year Public	48	32	12,635,436	15,576,813	28,212,249	36,039,459
	4-year Private	114	72	40,982,381	51,382,384	92,364,765	125,054,076
	General Private	4	2	1,810,000	2,820,000	4,630,000	4,630,000
	Total	353	244	$114,351,859	$154,550,379	$268,902,238	$326,944,416

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Table 3 compares the 1:1 match to the 2:1 match. Since the 1992 reauthorization all matches are 2:1 matches; before the 1992 reauthorization, only a few grants above a certain trigger could receive a 2:1 match. The government has spent more across 78 grants to create less initial endowment for the current 2:1 match than it did across 275 grants under the 1:1 match. Institutions have no trouble raising the required funds and the government would encourage more total initial endowment with a 1:1 match than a 2:1 match.

Given the annual reports submitted, Table 4 shows that the total invested value has not decrease but has remained the same or increased for all fiscal years.

Table 5 shows the estimated endowment growth for those institutions that submitted an annual report. The endowment often shows a loss in the first report, but the average endowment growth increases in each subsequent annual report.

Strategic Initiatives

In spring 1996, a national conference that included technical assistance workshops to improve proposals and projects was held. Mini-workshops were held in several locations around the country to provide technical assistance to grantees. Information resulting from an endowment study was also shared with grantees.

Table 3

Comparison of Inititial Endowment Value
Given 2:1 and 1:1 matches

	Grants	Match	Grant	Total
2:1 match	78	$40,198,520	$80,397,040	$120,595,560
1:1 match	275	$74,153,339	$74,153,339	$148,306,678

Table 5

Endowment Growth as Reported in the Annual Report

	First Report		Second Report		Third Report		Fourth Report		Fifth Report		Sixth Report		Seventh Report	
FY	No. of Grants	Growth	No. of Grants	Growth	No. of Grants	Growth	No. of Grants	Growth	No. of Grants	Growth	No. of Grants	Growth	No. of Grants	Growth
84	29	0.75%	29	4.01%	29	3.96%	29	4.23%	29	4.82%	29	13.71%	29	4.73%
85	37	-0.28%	37	1.43%	37	3.30%	37	4.20%	35	4.08%	35	3.45%	35	4.12%
86	64	-0.25%	64	2.35%	64	3.91%	64	4.39%	62	5.17%	62	5.57%	52	6.15%
87	24	1.93%	24	4.82%	24	5.87%	23	5.74%	22	5.88%	5	5.87%		
88	26	-0.95%	26	3.39%	24	6.70%	15	6.78%	5	6.02%	1	8.83%		
89	19	2.82%	18	5.86%	17	6.78%	4	13.38%	1	15.16%				
90	15	-1.27%	13	6.22%	4	4.19%								
91	8	-12.31%	1	0.76%										
92	1	0.00%												
Total	223	-1.10%	212	3.77%	199	4.98%	172	5.26%	154	5.42%	132	6.44%	116	5.19%

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A review of the financial reports showed that some Part C grantees invested in low-yielding endowments and because grantees can also spend half of the annual endowment income, it was feared that the value of the endowments could be eroding. This concern led to an evaluation of the endowment strategies of Part C grantees.

The evaluation showed that the endowment value for the vast majority of grantees is increasing, though most endowment grantees put too high a percentage of their endowment in low-yield cash-equivalents and could have enjoyed a greater return if they had put more of their investment in stocks and bonds. Several recommendations were made to encourage institutions to choose higher-yield investments and to change the financial reports so as to show an unambiguous rate of return.

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing the performance indicators that will be used to assess the program's performance.

IV. Planned Studies

An evaluation of the Title III programs began in FY 1995. Findings from the evaluation will be available in the fall of 1998.

V. Sources of Information

1. Program files.
2. Evaluation of the Investment Strategies at Developing Institutions. (Princeton, NJ: Mathtech Inc., June 25, 1996).

VI. Contacts for Further Information

Program Operations: Jowava M. Leggett, (202) 708-8816

Program Studies: Jim Maxwell, (202) 401-3630

Minority Science and Engineering Improvement Programs (MSIP) (CFDA No. 84.120)

I. Legislation

Higher Education Act (HEA) of 1965, Title X, Part B, as amended (20 U.S.C. 1135b-1135d-6) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$5,000,000	1988	$5,266,000
1975	5,000,000	1989	5,307,000
1980	5,000,000	1990	5,416,000
1981	5,000,000	1991	5,855,000
1982	4,800,000	1992	6,000,000
1983	4,800,000	1993	5,892,000
1984	4,800,000	1994	5,892,000
1985	5,000,000	1995	5,839,000
1986	4,785,000	1996	5,255,000
1987	5,000,000		

III. Analysis of Program Performance

A. Goals and Objectives

These programs are designed to improve science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

B. Strategies to Achieve the Goals

Population Targeting

Private and public two-year and four-year institutions of higher education are eligible for Minority Science and Engineering Improvement Programs (MSIP) grants if their enrollments are predominantly (50 percent or more) American Indian, Alaskan native, black, Hispanic, Pacific Islander, or any combination of these or other ethnic minorities who are underrepresented in science and engineering. Nonprofit, science-oriented organizations and professional scientific societies are also eligible if they provide a needed service to a group of institutions eligible for MSIP, including in-service training for project directors, scientists, or engineers.

As shown in Table 1, over the four years from FY 1993 through FY 1996, 274 awards were made. Over this period, 49 percent of the awards went to historically black institutions, 17 percent to the Puerto Rican institutions, 10 percent to the American Indian institutions, and 13 percent to those institutions with a combination of minorities.

Table 1

Distribution of Funds by Racial Minority or Ethnic Group for FYs 1993-1996

Racial or Ethnic Group	FY 1993		FY 1994		FY 1995		FY 1996		Total	
	No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount
American Indian	4	$440,637	8	$789,193	8	$506,691	8	$371,724	28	$2,108,245
Historically Black	28	2,982,770	39	2,532,887	39	2,922,310	28	2,670,514	134	11,108,481
Predominately Black	1	164,572	3	274,981	4	249,220	2	77,097	10	765,870
Mexican	1	164,677	4	299,537	3	85,550	3	149,800	11	699,564
Puerto Rico	7	1,161,360	13	1,282,974	13	1,179,476	13	1,067,815	46	4,691,625
Pacific Islander	1	108,700	2	36,480	2	23,308	1	94,027	6	262,515
Combination	7	733,299	7	421,104	11	752,498	10	777,969	35	2,684,870
Nonminority	1	24,983	1	25,000	2	45,883	0	0	4	95,866
Total	50	$5,780,998	77	$5,662,156	82	$5,764,936	65	$5,208,946	274	$22,417,036

Services Supported

As presented in Table 2, four categories of grants are supported with MSIP funds:

1. Institutional Project grants provide assistance to individual minority institutions to support implementation of comprehensive science improvement plans, which may include any combination of activities designed to improve the preparation of minority students for careers in science. These grants have a maximum duration of three years and a maximum award size of $300,000.

2. Cooperative Project grants help groups of nonprofit, accredited colleges and universities to work together to conduct science improvement projects. These grants have a maximum duration of three years and a maximum award size of $500,000.

Table 2

DISTRIBUTION OF FUNDS UNDER THE MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAMS, FYs 1993 - 1996

Type of Award	Size and Duration	1993		1994		1995		1996		Total	
		No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount	No. of Awards	Amount
Institutional Projects	$300,000 3 years	31	$4,649,581	48	$4,217,831	58	$4,356,939	42	$3,677,083	179	$16,901,434
Cooperative Projects	$500,000 3 years	3	653,722	6	793,193	8	970,531	5	997,131	22	3,414,577
Design Projects	$20,000 1 year	0	0	1	19,500	0	0	2	39,976	3	59,476
Special Projects	$150,000 2 years	16	477,695	22	631,632	16	437,466	16	494,756	70	2,041,549
Total		50	$5,780,998	77	$5,662,156	82	$5,764,936	65	$5,208,946	274	$22,417,036

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3. Design Project grants provide assistance to minority institutions to plan and develop long-range science improvement programs. The grants have a maximum duration of one year and an award size of up to $20,000.

4. Special Project grants support activities that improve the quality of training in science, mathematics, and engineering; enhance minority institutions' general scientific research capabilities; provide needed services to groups of eligible minority institutions; or provide in-service training for project directors and faculty from eligible minority institutions. These grants have a maximum duration of two years and a maximum award size of $150,000.

Over $21 million has been obligated for MSIP from FY 1993 through FY 1996. Most of that funded institutional project grants, which represented approximately 65 percent of the funds from FY 1993 to FY 1996.

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing the performance indicators that will be used to assess the program's performance. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Sources of Information

Program files.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations: Argelia Velez-Rodriguez, (202) 260-3261

Program Studies: Jim Maxwell, (202) 401-3630

Programs To Encourage Minority Students To Become Teachers (CFDA No. 84.262)

I. Legislation

The Higher Education Act (HEA) of 1965, Title V, Part E, Subpart 2, as amended (20 U.S.C. 1112, 1112a-1112e) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1993	$2,480,000
1994	2,480,000
1995	2,458,000
1996	2,212,000

III. Analysis of Program Performance

A. Goals and Objectives

To improve recruitment and training opportunities in education for minority persons, including those who speak minority languages, to increase the number of minority teachers in elementary and secondary schools, and to identify and encourage minority students in 7-12th grades to aspire to and prepare for careers in elementary and secondary school teaching.

B. Strategies to Achieve the Goals

Services Supported

The Programs to Encourage Minority Students to Become Teachers, otherwise known as the Minority Teacher Recruitment Program, funds two types of grants: Teacher Partnership Grants and Teacher Placement Grants. Teacher Partnership Grants are awarded to institutions of higher education, in partnership with local education agencies, state education agencies, state higher education agencies, or community-based organizations. Teacher Placement Grants are awarded to institutions of higher education that have schools or departments of education.

Nine continuation awards were made in FY 1995. Seven of these were partnership awards and two were placement awards. All nine projects will have completed their activities by June 1997.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are being developed. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

1. Program files

VI. Contacts for Further Information

Program Operations:	Vicki V. Payne (202) 260-3291
Program Studies:	Dan Morrissey (202) 401-3619

Law School Clinical Experience Program (CFDA No. 84.097)

I. Legislation

The Higher Education Act (HEA) of 1965, Title IX, as amended (20 U.S.C. 1134u-1134w) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1978	$1,000,000	1992	$8,000,000
1980	4,000,000	1993	9,920,000
1985	1,500,000	1994	14,920,000
1990	4,935,000	1995	13,222,000
1991	5,855,000	1996	5,500,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to establish, to continue, or expand programs in accredited law schools that provide clinical experience in the practice of law, with absolute preference given to programs that provide legal experience in the preparation and trial of actual cases (including both administrative cases and out-of-court settlements) and to programs providing service to persons who have difficulty in gaining access to legal representation.

B. Strategies to Achieve Goals

Services Supported

The Law School Clinical Experience program supports annual, competitive discretionary grants to accredited law schools to establish, continue, or expand clinical experience for law students. Preference is given to programs providing legal experience in the preparation and trial of actual cases, including both administrative cases and out-of-court settlements. Grants may not finance more than 90 percent of the project costs. The maximum grant award to any school in any fiscal year is $250,000. Project costs may include planning, preparation of related teaching materials, administration, training of faculty members, salary for additional faculty or attorneys and others directly involved in supervision, and other activities related to the program.

Each year, students at participating institutions provide legal assistance to disadvantaged clients. Students typically gain experience in handling legal problems relating to the elderly, indigent parents, the homeless, the handicapped, the disadvantaged, families with problems, victims of domestic abuse, immigrants and refugees, and individuals with AIDS.

During 1996 the program made 54 grants, compared with 105 the previous year. The average award was $102,000 in 1996 and $117,000 in 1995. These grants supported 2,130 students in 1996, compared with 4,375 in 1995, and the cost per participant was $2,600 in 1996 and $2,800 for the previous year.

Strategic Initiatives

None.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Tanyelle D. Hawkins (202) 260-3393
Program Studies:	Dan Morrissey (202) 401-3619

Assistance for Training in the Legal Profession
(CFDA No. 84.136)

I. Legislation

The Higher Education Act (HEA) of 1965, Title IX, Part F, as amended by P.L. 102-325 (20 U.S.C. 1134s-t) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$750,000	1988	$1,915,000
1975	750,000	1989	1,892,000
1980	1,000,000	1990	2,468,000
1981	1,000,000	1991	2,928,000
1982	960,000	1992	3,045,000
1983	1,000,000	1993	2,991,000
1984	1,000,000	1994	2,991,000
1985	1,500,000	1995	2,964,000
1986	1,435,000	1996	0
1987	1,500,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of the program is to help minority, low-income, or educationally disadvantaged college graduates successfully pursue a law degree, J.D. or LL.B., and serve in the legal profession by supporting law school preparation and providing stipends.

B. Strategies to Achieve the Goals

Population Targeting

This program is administered by a single grantee, the Council on Legal Education Opportunity (CLEO). All program participants must be college graduates who are minority, low-income, or educationally disadvantaged. Financial (low-income) eligibility is determined by information provided by applicants on the Free Application for Federal Student Aid (FAFSA). Academic qualifications reflecting the probability of success in law school also are required.

Services Supported

CLEO has assisted an estimated 7,000 students in gaining admission to law schools. Of the 340 participants, in the last federally-funded summer institution, FY 1995, 55 percent were African Americans, 25 percent were Hispanic, 8 percent were white, 10 percent were Asian Americans or Pacific Islanders, and 2 percent were Americans Indians. These students benefited from stipends while in law school, and some participating law schools waived all or part the of the tuition and fees.

FY 1995 appropriations were also used for a comprehensive student retention initiative that provided tutorial and mentor services from CLEO alumni.

Funding from private sources has not increased significantly since federal appropriations were eliminated.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are not planned for this program at this time since funds have not been appropriated since FY 1995. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Sources of Information

Program files.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations:	Janice Wilcox, (202) 260-3207
Program Studies:	James Maxwell, (202) 401-3630

Patricia Roberts Harris Fellowship Program
(CFDA No. 84.094)

I. Legislation

Higher Education Act (HEA) of 1965, Title IX, Part B, as amended by P.L.103-208 (20 U.S.C. 1134d-1134g) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$10,000,000	1989	$15,711,000
1982	8,640,000	1990	16,034,000
1983	10,000,000	1991	17,566,000
1984	11,000,000	1992	17,600,000
1985	11,750,000	1993	20,427,000
1986	11,245,000	1994	20,427,000
1987	11,750,000	1995	10,144,000
1988	15,304,000	1996	0

Note: Previous reports included the Fellowship (84.094B) and Service Fellowship (84.094C) programs and this report only includes the Fellowship program. The Service Fellowship program was not authorized in P.L.103-208.

III. Analysis of Program Performance

A. Goals and Objectives

This program was intended to provide grants for master's level, professional, and doctoral study to women and individuals from minority groups who are underrepresented in such programs and who demonstrate financial need. Program funding ended in FY 1995, and this is a close-out report on the program.

B. Strategies to Achieve the Goals

Services Supported

Fellowships were awarded to support financially needy minorities and women pursuing master's, professional, and doctoral study in fields in which they are underrepresented. The institution establishes a fellow's financial need in accordance with Part F of Title IV of the Higher Education Act, as amended.

In FY 1995, each Harris fellow was eligible for a stipend of up to $14,400 for a 12-month period and for an institutional allowance of $9,493 to cover tuition and other expenses.

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In FY 1992 the maximum stipend was limited to $10,000 for a 12-month period and the institutional allowance to $6,000. The average fellowship, which included both the student stipend and the institutional allowance, was less than the $16,000 maximum award because not all awards were made for the maximum 12-month period, and because awards were based on financial need.

Fellowship awards for master's or professional study were made for the normal period of time for completing the program, or a total of three years, whichever is less; however, fellows could receive fellowship support for up to 12 months more if a special justification was accepted by the Secretary. Fellowship awards for doctoral study could not exceed a total of three years, consisting of not more than two years of support for study or research and not more than one year of support for dissertation work. The institution provided two years of support for each grantee, including at least one year of supervised teaching, following the two years of predissertation support.

For FY 1992, the new master's and professional awards totaled 111, and 246 new doctoral fellowships were funded. In FY 1993, 218 new master's and professional fellowships were funded, and 266 new doctoral fellowships were funded. In FY 1995, 269 fellowships were funded.

C. Program Performance—Indicators of Impact and Effectiveness

See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Sources of Information

1. Program files.
2. Annual funding directory on grantees.
3. Student confirmation reports from grantees.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations:	Cosette Ryan, (202) 260-3608
Program Studies:	Jim Maxwell, (202) 401-3630

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Fulbright-Hays Training Grants Program
(CFDA Nos. 84.018, 84.019, 84.021, 84.022)

I. Legislation

Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act) (22 U.S.C. 2452 (b)(6)) (no expiration date).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$3,000,000	1991	$5,855,000
1970	2,430,000	1992	6,000,000
1975	2,700,000	1993	5,843,000
1980	3,000,000	1994	5,843,000
1985	5,500,000	1995	5,790,000
1990	5,136,000	1996	4,750,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to fund, promote, develop, and improve modern language and area studies throughout the educational structure of the United States by supporting overseas research, training, and curriculum development projects focused on languages and areas of the world underrepresented in American education.

B. Strategies to Achieve the Goals

Services Supported

The Fulbright-Hays Act funds four programs: Group Projects Abroad, Doctoral Dissertation Research Abroad, Faculty Research Abroad, and Special Bilateral Projects. Each targets a different population.

- Group Projects Abroad awards grants to institutions of higher education, state departments of education, and private, nonprofit educational organizations to conduct overseas group projects in research, training, and curriculum development in modern foreign language and area studies. Participants in the group projects are faculty members, teachers, graduate students, and undergraduates in their junior or senior year.

- Doctoral Dissertation Research Abroad provides support for graduate students admitted to doctoral degree candidacy in modern foreign language and area studies at U.S. institutions of higher education. Eligibility is restricted to students who have the language skills necessary to carry out the dissertation project, who plan a teaching career in the United States upon graduation, and who are U.S. citizens or permanent residents, or intend to become permanent residents of the United States.

- Faculty Research Abroad provides support for faculty members at U.S. institutions of higher education to conduct research abroad in modern foreign language and area studies.

- Special Bilateral Projects provides funding for seminars abroad on topics in the social sciences, humanities, and foreign languages. The program targets undergraduate faculty members, administrators, supervisors, and curriculum specialists of state or local education agencies with responsibility for the social sciences, elementary and secondary school social studies teachers and supervisors, and teachers of foreign languages.

With the exception of bilateral projects that are administered by multinational Fulbright Commissions, Fulbright-Hays Training Grant programs are administered by U.S. institutions of higher education and, in some cases, state departments of education and nonprofit educational organizations.

Table 1 profiles each of the four programs for FY 1994 and FY 1995, showing details on the number of projects and participants, average awards per project, and budget authority.

Table 1
1995-96 Fulbright-Hays Training Grants Program Information
1994 and 1995

Program	Number of Projects	Number of Participants	Average Award	Budget Authority
Group Projects Abroad				
FY 1994	39	585	$55,744	$2,174,000
FY 1995	38	700	$56,658	$2,153,000
Doctoral Dissertation Research Abroad				
FY 1994	59	59	$30,610	$1,806,000
FY 1995	63	63	$28,254	$1,780,000
Faculty Research Abroad				
FY 1994	17	17	$46,471	$790,000
FY 1995	23	23	$36,304	$835,000
Seminar Abroad Projects				
FY 1994	8	131	$117,750	$942,000
FY 1995	7	107	$133,714	$936,000
Total, FY 1994	123	792		$5,843,000
FY 1995	131	893		$5,790,000

(Note: Total includes funds for administration and peer review.)

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are being developed. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for further Information

Program Operations:	Ralph Hines (202) 401-9789
Program Studies:	Dan Morrissey (202) 401-3619

International Education and Foreign Language Studies (CFDA Nos. 84.015, 84.016, 84.017, 84.153, 84.220, 84.229, 84.251, 84.269, 84.274)

I. Legislation

Higher Education Act (HEA) of 1965, Title VI, as amended (20 U.S.C. 1121-1132-1) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$15,800,000	1987	$27,550,000
1970	13,002,000	1988	25,419,000
1975	11,300,000	1989	25,855,000
1980	17,000,000	1990	34,658,000
1981	19,800,000	1991	40,011,000
1982	19,200,000	1992	34,480,000
1983	21,000,000	1993	36,516,000
1984	25,800,000	1994	53,283,000
1985	26,500,000	1995	53,283,000
1986	25,408,000	1996	51,401,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to enhance the economy and long-range security of the United States by establishing and supporting programs that assist in the development of knowledge, international study, resources and trained personnel, to stimulate the attainment of foreign language acquisition and fluency; to develop a pool of international experts to meet national needs; to engage in activities that increase the international skills of our business community; and to increase the number of underrepresented minorities in the international service.

B. Strategies to Achieve the Goals

Services Supported

The International Education and Foreign Language Studies program has 10 different components. Each is intended to strengthen language, area, and international studies throughout the educational structure of the United States, but primarily at institutions of higher education.

1. National Resource Centers (NRC) program provides grants to institutions of higher education to establish, operate, and strengthen graduate and undergraduate centers that focus on modern

foreign languages, world areas, and global issues. Each center offers instruction and conducts research related to particular regions and issues.

2. **Foreign Language and Area Studies (FLAS) Fellowships** program provides grants to selected institutions of higher education enabling them to offer academic year and summer fellowships to graduate students. Awards are used for a combination of modern foreign language study and area study, language and international or professional study, or dissertation research.

3. **Undergraduate International Studies and Foreign Language** program provides awards to institutions of higher education and consortia which are used to plan, develop, and implement programs to strengthen and improve undergraduate instruction in international studies and foreign languages.

4. **International Research and Studies** program awards grants to institutions of higher education, public and private agencies, and organizations and individuals to conduct research, surveys, and studies to improve and strengthen instruction in modern foreign languages, area studies, and other international fields.

5. **Business and International Education** (BIE) program provides matching grants to institutions of higher education for projects carried out in partnership with business enterprises, trade organizations, or associations engaged in international trade. These projects are designed to enhance international studies programs at colleges and universities, and to expand the capacity of the business community to engage in commerce abroad.

6. **Centers for International Business Education** (CIBE) program provides grants to eligible institutions of higher education, or combinations of these institutions, to pay the federal share of the cost of planning, establishing, and operating multidisciplinary educational centers on international trade. These centers are to serve as a national resource for the teaching of improved business strategies, to provide instruction in critical foreign languages, and to support research and training in international trade.

7. **Language Resource Centers** program provides grants to institutions of higher education to carry out activities to improve the teaching and learning of foreign languages. Projects under this award category are for the development of new materials; the development and application of proficiency testing; the training of teachers in the administration and interpretation of proficiency tests; the use of effective teaching strategies and new technologies; the publication of instructional materials in less commonly taught languages; and the dissemination of research results, teaching materials, and the development of improved pedagogical strategies.

8. **Foreign Periodicals** program provides grants to institutions of higher education, public or nonprofit, private library institutions to acquire periodicals and other research materials produced and published outside the United States that are not commonly held by American academic libraries; preserve the acquired materials; make the material available to researchers and scholars; and maintain bibliographic information on the acquired materials in machine-

readable form and enter that information into one or more of the widely available bibliographic databases.

9. **American Overseas Research Centers** program provides grants to any American overseas research center that is a consortium of institutions of higher education, receives more than 50 percent of its funding from public or private U.S. sources, has a permanent presence in the country in which the center is located, and is an organization described in section 501(c)(3) of the Internal Revenue Code of 1986. Funds are used for a variety of purposes designed to assist American students and students overseas.

10. **The Institute for International Public Policy** (IIPP) program provides a single grant to an eligible consortium to establish an institute whose mission is to conduct educational programs designed to increase the number of African Americans and other underrepresented minorities in the international service, including private international voluntary organizations and the Foreign Service of the United States.

Program Administration

Table 1 summarizes funding in FY 1995 and 1996 for each of the 10 different international education programs. There has been little change in the relative funding of the programs. The National Resource Centers and FLAS Fellowships programs receive the majority of funds, but the Language Resource Centers program has received the largest proportional increases in recent years.

Table 1
Program Information for FYs 1995-1996

		FY1995	FY1996
1.	National Resource Centers	$19,040,000	$18,736,000
2.	Foreign Language and Area Studies (FLAS) Fellowships	13,396,000	13,396,000
3.	Undergraduate International Studies and Foreign Language	3,907,000	3,296,000
4.	International Research and Studies	2,775,000	1,885,000
5.	Business and International Education	3,329,000	3,523,000
6.	Centers for International Business Education	6,851,000	6,779,000
7.	Language Resource Centers	2,400,000	2,258,000
8.	Foreign Periodicals	--	--
9.	American Overseas Research Centers	500,000	500,000
10.	Institute for International Public Policy	1,000,000	920,000

C. Program Performance—Indicators of Impact and Effectiveness

Program indicators are under development. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Richard D. Scarfo, (202) 401-9798
Program Studies:	Andrew Lauland, (202) 401-3630

Cooperative Education
(CFDA No. 84.055)

I. Legislation

The Higher Education Act (HEA) of 1965, Title VIII, as amended by P. L. 102-325 (20 U.S.C. 1133-1133c) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 1,540,000	1988	$13,787,000
1975	10,750,000	1989	13,622,000
1980	15,000,000	1990	13,445,000
1981	23,000,000	1991	13,175,000
1982	14,400,000	1992	14,000,000
1983	14,400,000	1993	13,749,000
1984	14,400,000	1994	13,749,000
1985	14,400,000	1995	6,927,000
1986	13,781,000	1996	0
1987	14,400,000		

III. Analysis of Program Performance

The Cooperative Education program encouraged (1) the planning, establishing, operating, and expanding of cooperative education projects in higher education institutions; (2) projects demonstrating or determining the feasibility and value of innovative methods of cooperative education; (3) projects training persons to conduct cooperative education programs; and (4) research into methods of improving, developing, or evaluating cooperative education programs in institutions of higher education. Program appropriations ended in FY 1995; this is a close-out report on the program.

See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: Vicki Payne, (202) 260-3291

Program Studies: David Goodwin, (202) 401-0263

College Facilities Loan Program
(CFDA No. 84.142)

I. Legislation

Higher Education Act (HEA) of 1965, Title VII, Part C, as amended (20 U.S.C. 1132d-4) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1977	$13,052,000
1980	13,857,000
1985	0
1990	35,129,000
1991	37,726,000
1992	7,539,000
1993	2,973,000
1994	0
1995	0
1996	0

III. Program Goals and Objectives

This program provided low-interest loans to help institutions of higher education or higher education building agencies to construct, reconstruct, or renovate housing, academic facilities, and other educational facilities for students and faculty. Program appropriations ended in FY 1994. This is a close-out report on the program.

See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: William Carter (202) 260-3485

Program Studies: Dan Morrissey, (202) 401-3619

Interest Subsidy Grants
(CFDA No. 84.001)

I. Legislation

Higher Education Act (HEA) of 1965, Title VII, and Section 702 (20 U.S.C. 1132a-1) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 3,920,000	1991	$20,396,000
1970	11,750,000	1992	19,412,000
1975	0	1993	18,869,000
1980	29,000,000	1994	18,029,000
1985	18,775,000	1995	17,512,000
1990	22,449,000	1996	16,712,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is intended to reduce the cost of construction, reconstruction, and renovation of academic facilities by subsidizing the interest costs on privately funded facilities loans.

B. Strategies to Achieve the Goals

Services Supported

Institutions of higher education, and agencies empowered by a state to issue bonds on behalf of higher education institutions, are eligible for interest subsidies. Subsidy grants reduce the interest rate from market levels to 3 percent. The amount of the annual subsidy is the difference between the interest costs actually incurred on loans obtained from nonfederal sources and the subsidized rate of 3 percent.

From FY 1970 through FY 1973, 711 privately secured loans, valued at about $1.4 billion in principal, were approved for federal interest subsidies. Since FY 1973 no further loans have been approved for subsidization. The subsidy payments have totaled about $416 million from the program's inception through FY 1996. At the beginning of the FY 1995 year there were 353 outstanding loans receiving subsidy. During the year, 11 loans were paid off, withdrawn, or canceled, leaving 342 loans in active status.

Outstanding loan volume under subsidy continued to decline in FY 1996 as loans were repaid (see Table 1).

Table 1

Annual Interest Subsidy Grants FY 1991 to 1996

	FY 1991	FY 1992	FY 1993	FY 1994	FY 1995	FY 1996
Total number of outstanding loans receiving subsidy	531	478	424	392	353	342
Total number of loans paid off, withdrawn, or other wise terminated	53	54	32	39	11	34
Average annual amount of interest subsidy grant	$38,410	$41,729	$47,677	$45,992	$49,609	$45,684
Total outstanding volume of loans for which interest subsidies are paid (in millions of dollars)	$ 958 million	$554 million	$463 million	$444 million	$427 million	$367 million

Source: V.1.

Strategic Initiatives

To limit federal costs, institutions and agencies are now required to demonstrate that their nonfederal loans were obtained at the lowest possible interest costs.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are being developed. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	William Carter (202) 260-3485
Program Studies:	Dan Morrissey (202) 401-3619

School, College, And University Partnerships Program
(CFDA No. 84.204)

I. Legislation

Higher Education Act, Title I, Part A (20 U.S.C. 1001-1006) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1988	$2,394,000
1989	2,760,000
1990	2,961,000
1991	3,904,000
1992	4,000,000
1993	3,928,000
1994	3,928,000
1995	3,893,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

To provide support for higher education and secondary school partnerships designed to improve high school retention and graduation rates of low-income and disadvantaged students, improve the academic skills of low-income and disadvantaged students, and prepare students for programs of postsecondary education or gainful employment following graduation from high school.

B. Strategies to Achieve the Goals

Population Targeting

In FY 1995, the eighth year of program operations, are estimated 7,280 students were served by the SCUP program. The program serves primarily low-income and other disadvantaged students who may be at risk of dropping out of high school or, though capable, are not expected to pursue higher education.

Services Supported

The program emphasizes year-round study to provide enriched educational experiences. Program services may include the use of college students to tutor secondary school students, activities to improve the basic academic skills of secondary students as well as skills in specific subjects, and efforts to improve access to postsecondary education and post-high school employment. Projects also provide work-based learning opportunities, mentors, and encourage parent involvement in their children's education.

Partnerships of institutions of higher education and local education agencies can receive funding under this program. In FY 1994, multiyear grant awards were made to 12 projects to serve an estimated 7,523 students. In FY 1995, 11 continuation grants were made with an average grant award of $353,909. No new grant awards were made in FY 1996 because no funds were appropriated for this program.

FY 1995	
Number of projects	11
Average award	$353,909
Number of persons served	7,280
Average federal cost per participant	$535

Strategic Initiatives

With the loss of funding for this program, management improvement plans are no longer being implemented.

C. Program Performance—Indicators of Impact and Effectiveness

Project performance reports containing information about project outcomes are submitted at the end of each multiyear grant cycle. Reports for the 1991-94 project period showed that the projects provided a variety of needed services to eligible populations. Reports for the 1995-96 project period have not yet been submitted to Department of Education. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Frances Bergeron, (202) 708-4804
Program Studies:	David Goodwin, (202) 401-0263

Jacob K. Javits Fellowships Program
(CFDA No. 84.170)

I. Legislation

Higher Education Act (HEA) of 1965, Title IX, Part C, as amended (20 U.S.C. 1134h-1134k-1) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1985	$2,500,000	1991	$7,807,000
1986	2,393,000	1992	8,000,000
1987	4,700,000	1993	7,857,000
1988	6,702,000	1994	7,857,000
1989	7,904,000	1995	6,845,000
1990	7,896,000	1996	5,931,000

III. Analysis of Program Performance

A. Goals and Objectives

To assist needy students of superior ability to pursue graduate degrees in the arts, humanities, and social sciences.

B. Strategies to Achieve the Goals

Javits Fellowships are awarded on the basis of merit and financial need to entering and enrolled graduate students. Students are selected to receive fellowships on the basis of merit by panels of academic scholars appointed by the Jacob K. Javits Fellows Program Fellowship Board, whose members are appointed by the Secretary of Education.

New awards are distributed as determined by the Javits Fellowship Board. In 1995 the board specified that the awards be distributed as follows:

- At least 20 percent in the arts;
- At least 20 percent in the social sciences; and
- At least 60 percent in the humanities.

The board also specified that 60 percent of new awards be made to students who had earned no graduate credits and the remainder to students who had earned less than 30 semester or 45 quarter graduate credits.

In FY 1994, the Jacob K. Javits Fellows Program awarded 127 new fellowships to graduate students in the arts, humanities, and social sciences. This number dropped to 28 in FY 1995 as a result of rescission in the program budget. In FY 1994 each award included a payment of $9,243 to the fellow's institution of higher education to cover tuition and fee expenses, regardless of whether actual tuition and fee charges at the institution were above or below this amount. In FY 1995 that payment increased to $9,493. For both years, the award also included a $14,400 maximum stipend to the student, based on financial need. In its 11-year history, the program has awarded 1,355 fellowships. There were 339 fellows still enrolled in FY 1995.

C. Program Performance—Indicators of Impact and Effectiveness

The Administration has proposed eliminating the Javits program because it believes it does not support national priorities. Javits Fellowship recipients need not be from underrepresented groups and they do not have to be studying in areas of national need. The Administration's priority is to provide significant support to the broader federal Title IV Student Financial Assistance programs rather than to support a small categorical program such as Javits Fellowships. The Administration has also proposed that students receiving Javits Fellowships in prior years receive continuation awards using funds appropriated under the Graduate Assistance in Areas of National Need program. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Uri Monson, (202) 401-9779
Program Studies:	Dan Goldenberg, (202) 401-3562

Paul Douglas Teacher Scholarship Program
(CFDA No. 84.176)

I. Legislation

Higher Education Act (HEA) of 1965, Title V, Part C, Subpart 1, P.L. 99-498, as amended by P.L. 102-325 (20 U.S.C. 1104 to 1104k) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1986	$9,570,000
1987	15,500,000
1988	14,840,000
1989	15,235,000
1990	14,922,000
1991	14,639,000
1992	15,000,000
1993	14,731,000
1994	14,731,000
1995	229,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the program was to make available scholarships to outstanding high school graduates to encourage and enable them to pursue teaching careers at the preschool, elementary school, or secondary school level. This is a close-out report on the program.

B. Strategies to Achieve the Goals

This program awarded scholarships to high school seniors or graduates who were planning to pursue a career in teaching. Awards were for up to four years of higher education, and were to equal the cost of attendance but not exceed $5,000 per year.

To be eligible for a scholarship, the applicant had to have graduated from high school, have been scheduled to graduate from high school by the end of the secondary school year, or have received a certificate of high school equivalency (GED). The applicant had to have ranked in the top 10 percent of the graduating class or to have had GED test scores equivalent to ranking in the top 10 percent of graduates in the state or in the nation. Furthermore, states had to establish selection criteria that best met their teaching needs in order to select scholars from among the eligible applicants. These selection criteria had to be reviewed and approved by the Secretary before a state used them.

The Douglas Program was administered by the state agency that administered the State Student Incentive Grant Program, the Federal Family Education Loan Program (formerly the Guaranteed Student Loan Program), or any other appropriate agency approved by the Secretary. A selection panel or a grant agency in each state established specific scholar selection criteria. Particular efforts were made to attract students from low-income backgrounds; ethnic and racial minority students; individuals with disabilities; other persons from groups historically underrepresented in teaching; persons who expressed a willingness or desire to teach in rural schools, urban schools, or schools having less than average academic results or serving large numbers of economically disadvantaged students; or women or minorities who showed interest in pursuing teaching careers in mathematics and science and who were underrepresented in such fields.

Forty-seven states, the District of Columbia, Puerto Rico, and the Northern Mariana Islands participated in the program. In addition, five insular areas consolidated Douglas funds under other Department programs.

The following table shows that between 1987-88 and 1992-93, the number of scholarships and the average award remained relatively constant.

Table 1

Number of Paul Douglas Scholarships
Awarded, FYs 1986-1994

Fiscal Year	Total Awards	First-time Awards	Renewal Awards	Average Amount of Awards
1986	1,694	1,694	0	$4,098
1987	3,025	1,928	1,097	$4,555
1988	3,614	1,902	1,712	$4,583
1989	3,615	1,263	2,352	$4,600
1990	3,248	1,132	2,116	$4,669
1991	3,202	1,299	1,903	$4,620
1992	3,436	1,200	2,236	$4,496
1993	3,404	1,204	2,200	$5,000
1994	2,910	1,013	1,683	$5,000

Source: V.1.

Note: Total scholarships times average awards does not equal appropriations for a given year because funds not expended in a given year were returned and could have been used for awards in a later year.

C. Program Performance—Indicators of Impact and Effectiveness

The congressionally mandated evaluation had not produced any outcome data on the program before the program and the evaluation were discontinued. Therefore, information on program outcomes are based solely on data from the annual performance reports. These reports show that the total number of students who ever received a Douglas Scholarship (through 1992-93) was 11,622.[1] The 1992-93 reports indicated that as of FY 1992, 7,278 scholarship recipients, or 62.6 percent of the scholarship recipients overall, had completed their teacher certification course of study. Of those, 66.72 percent had taught in the past or were teaching as of the 1992-93 school year. Approximately 2,348 recipients (20.2 percent) had completed their scholarship obligation, and 2,131 (18.34 percent) had completed their obligation through teaching and not at all through repayment. As of FY 1992, 465 scholarship recipients--4 percent of the recipients overall--were in repayment. In addition, less than 1 percent of the recipients overall--26 recipients--were in default. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Darlene Collins, (202) 260-3394
Program Studies:	Liz Eisner, (202) 401-3630

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[1] The data from one state were missing for the 1992-93 program year.

Robert C. Byrd Honors Scholarship Program
(CFDA No. 84.185A)

I. Legislation

Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 6, as amended (20 U.S.C. 1070d-31-1070d-41) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1987	$8,000,000
1988	7,659,000
1989	8,200,000
1990	8,627,000
1991	9,271,000
1992	9,642,000
1993	9,470,000
1994	19,294,000
1995	29,117,000
1996	29,117,000

III. Analysis of Program Performance

A. Goals and Objectives

This program is designed to promote academic excellence and achievement among students and to encourage high school graduates to pursue postsecondary education and acquire a college degree by recognizing exceptionally able students who show promise of continued excellence.

B. Strategies to Achieve the Goals

Services Supported

Byrd scholarships were awarded for the first time in the spring of 1987 for study in the 1987-88 academic year. Scholarship recipients received $1,500 for the first year of study at an institution of higher education. Byrd scholars selected for the 1993-94 academic year were the first cohort of scholars that were eligible to receive a $1,500 scholarship annually for up to the first four years of study. In FY 1996, in order to accommodate additional cohorts, the amount of the Byrd scholarship was reduced to $1,121.

Fiscal Year	Number of Scholarships
1987	4,749
1988	5,017
1989	4,905
1990	5,185
1991	5,561
1992	5,798
1993	6,283
1994	6,580
1995	6,548
1996	6,548

The Byrd Scholarship Program is administered by state education agencies, which establish specific scholar-selection criteria in consultation with school boards, teachers, counselors, and parents. All 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, Guam, Micronesia, the Marshall Islands, and Palau are eligible to participate in the program. The scholarships are allocated to each state in proportion to its school-age population (5 to 17-year-olds), except that each state shall have at least 10 scholarships. The scholars must be selected in a manner that ensures an equitable geographic distribution of scholarships within the state.

To be eligible for a scholarship, the applicant must have a high school diploma or equivalent, and must have applied to or been accepted for enrollment at an institution of higher education. The scholarships are awarded on the basis of academic achievement and are renewable for up to four years of study at an institution of higher education of the scholar's choice.

Strategic Initiatives

The Department provides technical assistance and reviews all state reports for the accuracy of the performance data. Department staff edit the reports and return them to the states for revision, as necessary. Department staff review edits annually to refine them and to improve data quality. The Department provides case-by-case assistance to the states regarding various administrative aspects of the program, and distributes appropriate guidance to all participating entities.

The annual performance report form used in the past for the Byrd Scholarship Program did not ask the states for any information about the educational outcomes of students who receive the scholarships. The information currently available about students includes the number of recipients by type of institution, and the total amount paid to recipients at each type of institution. In the 1992-93 program year, the number of recipients was as follows:

Type of Institution	Number of Recipients
In-state, public	1,957
In-state, private nonprofit	969
Out-of-state, public	514
Out-of-state, private nonprofit	1,857

The program office has designed a new form that will ask the States for some student outcome data, including the number of scholarship recipients whose academic performance merits renewal of the scholarship each year, and the number of scholarship recipients who graduate from college each year.

C. Program Performance—Indicators of Impact and Effectiveness

Program indicators are under development. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Darlene B. Collins, (202) 260-3394
Program Studies:	Andrew Lauland, (202) 401-3518

Women and Minority Participation In Graduate Education (CFDA No. 84.202)

I. Legislation

Higher Education Act (HEA) of 1965, Title IX, Part A, Sections 911-915, as amended by P.L. 102-325 (U.S.C. 1134a-1134c-2) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1988 1/	$3,351,000
1989	3,476,000
1990	3,547,000
1991	5,953,000
1992	5,953,000
1993	$5,846,000
1994	5,846,000
1995	0 2/
1996	0

1/ FY 1988 was the first year of funding.
2/ In FY 1995 the 23 continuation grants were redesignated as Ronald E. McNair Program grants, HEA, Title IV, Part A and funded through that program.

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the programs was to provide opportunities to participate in research and scholarly activities to talented undergraduate students who demonstrate financial need and are individuals from minority groups underrepresented in graduate education, or are women underrepresented in fields of study in graduate education, such as the fields of science and mathematics. Such opportunities had to be designed to prepare those students for graduate study. Program funding ended in FY 1994 and this is a close-out report.

B. Strategies to Achieve the Goals

Services Supported

In FY 1993, 136 applications for awards were received and 71 were funded. Fifteen applications were received from historically black colleges and universities (HBCUs), five of which were funded.

Of the remaining awards, 53 went to other public institutions and 13 to other private institutions (see Table 1).

Table 1

FY 1993 Application and Award Data

	Applications	Awards
HBCUs	15	5
Other public	85	53
Other private	36	13
Total	136	71

Of the 71 awards made in FY 1993, 18 were made to institutions proposing to serve exclusively blacks; 34 to those serving blacks and Hispanics; 17 to those serving Hispanics and Americans Indians; 9 serving blacks, Hispanics, Americans Indians, and Pacific Islanders; 1 to an institutions serving blacks and Americans Indians; and 3 to institutions serving all eligible minority groups, including those named above in addition to Alaskan natives. All of the grantees proposed to serve women in their projects; none was focused exclusively on women.

Institutions of higher education competed for grants under this program. Such grants supported direct fellowship aid, including need-based stipends, room and board costs, transportation costs, and tuition for summer research internships and seminars for which credit was given by the institution to participating talented, minority, and female undergraduate students. In reauthorizing the program in 1992, Congress added women studying in fields in which women are underrepresented in graduate education as recipients of program funds.

Projects could be funded for two years and had a maximum award of $100,000 per year. The Department of Education adopted a policy that expenditures per student could not exceed $5,000, to ensure that a maximum number of students would be served.

C. Program Performance—Indicators Impact and Effectiveness

Performance Indicators under development. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

IV. Contacts for Further Information

Program Operations:	Vicki V. Payne, (202) 260-3291
Program Studies:	James P. Maxwell, (202) 401-3630

Graduate Assistance In Areas Of National Need
(CFDA No. 84.200)

I. Legislation

Higher Education Act (HEA) of 1965, Title IX, Part D as amended (20 U.S.C. 1134l-1134q-1) (expires September 30,1997).

II. Funding History

Fiscal Year	Appropriation
1988	$17,659,000
1989	12,844,000
1990	15,793,000
1991	24,885,000
1992	28,000,000
1993	27,498,000
1994	27,498,000
1995	27,252,000
1996	27,252,000

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to sustain and enhance the capacity for teaching and research in areas of national need by providing, through academic departments and programs at institutions of higher education, fellowships to assist graduate students of superior ability who demonstrate financial need.

B. Strategies to Achieve the Goals

Services Supported

Fellowships must be in an academic area that the Secretary has designated as an area of national need. In the program's first year of operation, FY 1988, the Department determined that the areas of national need were chemistry, engineering, mathematics, and physics. In 1991, "less commonly taught foreign languages" (languages other than French, German, Italian, and Spanish) were added to the four previously designated areas.

The program provides fellowships at selected institutions of higher education to graduate students of superior ability who demonstrate financial need. Since the Higher Education Amendments of 1992, financial need is determined in the same manner as for Title IV student aid awards. Previously, need was established under criteria established by institutions.

Fellowships are awarded to graduate students through selected institutions of higher education. In FY 1992, 118 noncompeting continuation awards and 46 new awards were made to institutions. The new awards included 6 in biology, 13 in chemistry, 11 in engineering, 3 in foreign languages, 7 in mathematics, and 6 in physics. In FY 1993, as a result of changes in the program enacted under the 1992 Higher Education Amendments, 144 noncompeting continuation awards, but no new awards, were made to institutions.

Competitive awards to institutions are made annually and can be renewed for a total of up to three years. Awards in FY 1992 ranged from $100,000, the minimum allowable, to $400,000. The average new award in FY 1992 was $168,310 compared with an average award of $168,825 in FY 1991. Awards are capped at $500,000. Because of the three-year grant cycle, the number of new awards varies annually--46 new awards (out of 276 applications submitted) were funded in FY 1992.

Through FY 1992, approximately 5,185 fellowships were granted from total cumulative funding of $89,181,000. FY 1992, the average fellowship increased from $12,323 to $14,187. Between FY 1988 and the cumulative number of fellowships in various academic areas since FY 1988 are as follows: biology, 49; chemistry, 1,472; engineering, 1,140; foreign languages, 84; mathematics, 1,196; and physics, 1,244.

Fellowships awarded under these grants include a stipend that may not exceed $14,000 per calendar year, and an amount to the institution not to exceed $9,000 per calendar year to cover tuition, fees, and other educational costs. Institutions receiving grants must match federal funds with a 25 percent contribution to be used for additional fellowships that meet the purposes of the authorizing legislation. The 1992 amendments raised the maximum award to $750,000 while leaving the minimum award at $100,000. In FY 1993, noncompeting awards ranged from $100,000 to $400,000.

Strategic Initiatives

In FY 1995, foreign languages were deleted as an area of national need and computer sciences were added.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are under development. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

The program plans a survey of program participants within the next two years.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Cosette Ryan (202) 260-3608
Program Studies:	Dan Morrissey (202) 401-3619

Howard University
(No CFDA Number)

I. Legislation

Congress issued a charter for Howard University by an act of March 2, 1867, and provided for federal assistance in subsequent acts (codified, as amended, at 20 U.S.C. 121 to 130aa-5) (no expiration date).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1879	$10,000	1970	$59,964,000
1880	10,000	1975	81,700,000
1885	24,500	1980	121,893,000
1890	29,200	1981	133,983,000
1895	29,500	1982	145,200,000
1900	35,100	1983	145,200,000
1905	47,600	1984	156,200,000
1910	104,735	1985	158,230,000
1915	101,000	1986	157,168,000
1920	243,000	1987	170,230,000
1925	591,000	1988	172,203,000
1930	1,249,000	1989	178,973,000
1935	665,241	1990	182,446,000
1940	754,160	1991	195,213,000
1945	1,280,575	1992	212,360,000
1950	4,262,000	1993	194,005,000
1955	5,082,000	1994	192,686,000
1960	7,148,000	1995	204,663,000
1966	13,902,000	1996	182,348,000

III. Analysis of Program Performance

A. Goals and Objectives

The main goal is to improve the quality and financial strength of Howard University as a vehicle for providing postsecondary access and opportunity for African Americans. Funds are designed to help support Howard University's academic operations, endowment, research program, and the hospital.

B. Strategies to Achieve the Goals

Howard University, located in Washington, D.C., provides a major avenue of postsecondary access and opportunity for blacks and others from disadvantaged backgrounds. Chartered by Congress in 1867 to provide such opportunities, Howard University served about 11,200 students in school year 1996-97, of whom approximately 85 percent were black Americans. International students made up about 10 percent of Howard's enrollment.

Students at Howard University are enrolled in 16 undergraduate, graduate, and professional schools and colleges. The university offers master's degrees in 65 areas and doctoral degrees in 24 fields. The university provides library services, administrative support, and research opportunities in support of its students.

Federal funding supports the university's academic program, endowment, research, construction, and hospital. As shown in Table 1, the vast majority of federal funds (83 percent in FY 1996) are used for academic support. Support for the Howard University Hospital accounts for most of the remaining federal funds. Construction funds were provided in 1991, 1992, and 1993 for a variety of renovation and reconstruction projects.

Table 1
Federal Appropriations for Howard University, By Funding Category, FYs 1992-1996

	FY 1992	FY 1993	FY 1994	FY 1995	FY 1996
Academic	$153,515,000	$150,764,000	$154,835,000	$156,530,000	$151,669,000
Endowment	2,928,000	3,351,000	3,441,000	3,530,000	--
Research	4,616,000	4,533,000	4,655,000	4,614,000	1,190,000
Hospital	28,301,000	28,973,000	29,755,000	29,489,000	29,489,000
Construction	23,000,000	6,384,000	--	--	--

Source: Program data (V.1).

The services provided in each of the categories listed in Table 1 can be described briefly as follows:

- **Academic Program**: Academic appropriations are used to support the general operation of the university, including student financial aid. In FY 1996 the federal appropriation represented 65 percent of Howard's academic and general expenditures (V.2). This is higher than the 58 percent figure for FY 1994 but slightly lower than that for FY 1992, when the federal appropriation represented 68 percent of Howard's academic and general expenditures.

- **Endowment Program**: The endowment grant program is designed to help the university meet its future needs and to reduce long-term federal funding requirements by stimulating private contributions. Since the inception of the endowment program in 1985, Howard's endowment has doubled and the university has matched almost $25 million in endowment grant appropriations (V.1).

- **Research Program**: The research program is designed to improve Howard University's capacity to compete for and acquire research grants. The program funds postdoctoral fellowships, primarily in scientific disciplines; competitively reviewed pilot studies of interdisciplinary faculty teams; and the purchase of laboratory equipment.

- **Hospital Program**: Federal appropriations help support Howard University Hospital, a 515-bed in-patient facility serving as a major acute and ambulatory care center for the inner city of Washington, D.C. In FY 1996, federal appropriations represented 17.4 percent of the hospital's support (V.2). Federal support of Howard University Hospital has remained at about the same level since FY 1992.

- **Construction**: Capital construction and renovation of university buildings is an allowable activity under the university's authorization. Howard has identified five projects to be initiated in FY 1997--a Health Sciences Library, a Law School Library, a Student Residential Network, a Faculty Network, and a Howard University Television Network--and plans to use $10 million to begin construction on the two libraries and $3.65 million for the network projects.

C. Program Performance—Indicators of Impact and Effectiveness

Program performance indicators are currently under development. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources Of Information

1. Program files.

2. Howard University.

VI. Contacts for Further Information

Program Operations:	Lawrence Grayson, (202) 260-3259
Program Studies:	Daniel Goldenberg, (202) 401-3562

National Science Scholars Program
(CFDA No. 84.242)

I. Legislation

Excellence in Mathematics, Science, and Engineering Act of 1990, repealed P.L. 103-382, Section 391(l) (October 20, 1994).

II. Funding History

Fiscal Year	Appropriation
1991	$ 976,000
1992	4,500,000
1993	4,464,000
1994	4,464,000
1995	3,303,000
1996	0

III. Program Goals and Objectives

The purpose of the National Science Scholars Program (NSSP) was to recognize high school student excellence and achievement in the physical, life, and computer sciences, mathematics, and engineering and to provide scholarships to these students to continue their studies in these academic fields at the postsecondary level.

To be eligible to receive a scholarship through the NSSP, the applicant had to be scheduled to graduate from a public or private secondary school or to obtain the equivalent of a certificate of graduation (as recognized by the state in which the student resides) during the school year prior to the one in which the scholarship is to be awarded. Applicants had to have demonstrated outstanding academic achievement in secondary school in physical, life, or computer sciences, mathematics, or engineering.

Each state submitted nominations for at least four applicants from each congressional district ranked in order of priority, at least half of whom had to be female. Initial scholarships were then awarded to two scholars from each congressional district, at least one of whom had to be female. The scholarships were not based on financial need.

Initial scholarships were awarded for the first year of postsecondary study in physical, life, or computer sciences, mathematics, or engineering. A scholarship recipient who maintained eligibility could receive up to four additional scholarship awards in subsequent years in order to complete the undergraduate course of study. The Secretary of Education was authorized to award up to $5,000 per year to each National Science Scholar. The amount awarded depended upon the level of funds appropriated by the Congress. In any given year, all scholarships were equal except that no student could receive a scholarship in excess of the cost of attendance.

Table 1 presents information on the number and amount of scholarships received between academic years 1991-92 and 1995-96. The table indicates that in the second year of the program, as a result of the growing appropriations level, the average award increased significantly. The average award then fell in later years as more renewal scholars received awards from a fixed or declining appropriations level.

Table 1: Description of NSSP Scholarship

	Number of Scholarships			
Year	**Total**	**New**	**Continuing**	**Average Award**
1991-92 (FY 1991)	797	797	0	$1,236
1992-93 (FY 1992)	1,625	869	756	$2,750
1993-94 (FY 1993)	2,400	861	1,539	$1,860
1994-95 (FY 1994)	3,110	860	2,250	$1,377
1995-96 (FY 1995)	3,467	863	2,604	$ 952

Note: The number of scholarships times the average award may not equal the amount appropriated in a given year. In FY 1991, awards exceeded the amount appropriated; FY 1992 funds were used to make up the difference.

The NSSP was recommended for elimination because the Administration felt that sufficient funds were available through the Student Financial Assistance programs and the Byrd Honors Scholarship program to enable talented undergraduates to attend college. Program appropriations ended in FY 1995 and this is a close-out report on the program.

See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Charles R. Brazil, (202) 260-3257
Program Studies:	Dan Goldenberg, (202) 401-3562

Urban Community Service Program
(CFDA No. 84.252)

I. Legislation

Higher Education Act (HEA) of 1965, Title XI, Part A, as amended, (20 U.S.C. 1136) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1992	$8,000,000	1995	$10,000,000
1993	9,424,000	1996	9,200,000
1994	10,606,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal of this program is to encourage urban academic institutions to work with private and civic organizations to devise and implement solutions to pressing problems in their urban communities.

B. Strategies to Achieve the Goals

Population Targeting

Institutions of higher education that are designated as "urban grant institutions" are eligible to apply for a grant. In designating eligible institutions, the Secretary determines whether an institution meets seven statutory requirements that demonstrate the institution's ability to meet the purpose of this program. The requirements include measures of institutional capacity, past service, and commitment to the community. The Higher Education Amendments of 1992 expanded the definition of an urban area to include metropolitan areas with a population of 350,000 and above; previously the standard was 500,000 and above.

Services Supported

Participating institutions may engage in planning, applied research, training, resource exchanges or technology transfers, delivery of services, or other activities to design and implement programs to help urban communities address their pressing problems. Projects of from one to five years are currently in effect. In FY 1995 an average of $312,500 was awarded to 32 institutions of higher education, in FY 1996 an average of $317,241 was awarded for 29 continuation grants. No new grants were awarded in FY 1996.

Eligible urban academic institutions compete for grants on an annual basis when funds are available. An institution may not receive a grant individually or as a participant in a consortium of institutions for more than five years. Grants are awarded in a manner that achieves an equitable geographic distribution of grants throughout the nation. Applicants that propose to conduct joint projects supported by other local, state, and federal programs receive funding priority.

The Department conducts site visits to ascertain project compliance and provide individualized assistance. A technical assistance conference was conducted in FY 1994 to assist grantees with issues pertaining to grant administration and evaluation and dissemination of project results. Currently, the grantees and the Department are electronically linked via a list server.

C. Program Performance—Indicators of Impact and Effectiveness

The program office is currently developing the performance indicators that will be used to assess the program's performance. See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Sources of Information

Program files.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations:	Sarah Babson, (202) 260-3472
Program Studies:	James Maxwell, (202) 401-3630

Eisenhower Leadership Program
(CFDA No. 261A)

I. Legislation

Higher Education Act (HEA) of 1965, Title X, Part D, as amended (20 U.S.C. 1135f) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1993	$ 0 1/
1994	4,000,000
1995	1,080,000
1996	0

1/ Funding of $3,472,000 for the program was included in the appropriation for the Fund for the Improvement of Postsecondary Education.

III. Program Goals and Objectives

The purpose of the Eisenhower Leadership Program was to promote the development of new generations of leaders in national and international affairs. Under the program, grants were provided to institutions of higher education or nonprofit, private organizations or consortia of such institutions to stimulate leadership skills among a variety of college students and to recruit and educate outstanding men and women for leadership roles in a variety of fields. Activities supported through the grants could include internships in national and international organizations and the development of curricula for secondary and postsecondary education for teaching critical leadership skills to young Americans.

The Eisenhower Leadership Program was recommended for elimination as part of the National Performance Review because the Administration felt that the program was poorly focused and duplicated activities already included in the curricula of many colleges. Program appropriations ended in FY 1995 and this is a close-out report on the program.

See also Office-Wide Performance Indicators for the Office of Postsecondary Education displayed in the Overview (OPS) to the postsecondary education programs.

IV. Planned Studies

None.

V. Sources of Information

Congressional Justifications for FYs 1994 and 1995.

VI. Contacts for Further Information

Program Operations:	Donald Bigelow, (202) 401-9788
Program Studies:	Dan Goldenberg, (202) 401-3562

Office of Educational Research and Improvement

Territorial Teacher Training Assistance Program (TTTAP) Project Grants to Territorial Jurisdictions (CFDA No. 84.124)

I. Legislation

Elementary and Secondary Education Act of 1965, as amended, Title Part E, Section 4502 (20 U.S.C. 3142) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$2,000,000	1989	$1,976,000
1981	1,800,000	1990	1,762,000
1982	960,000	1991	1,769,000
1983	960,000	1992	1,769,000
1984	1,000,000	1993	1,737,000
1985	2,000,000	1994	1,737,000
1986	1,913,000	1995	0
1987	2,000,000	1996	0
1988	1,915,000		

III. Analysis of Program Performance

A. Goals and Objectives

The goal was to provide assistance for teacher training in schools in Guam, American Samoa, Micronesia (FSM), the Northern Mariana Islands, Palau, Republic of the Marshall Islands (RMI), and the Virgin Islands. Grants were awarded to state education agencies (SEAs) in each territory. FY 1994 was the last year of appropriations and this is a close-out report on the program.

IV. Sources of Information

1. Program files.

2. Evaluation of the Territorial Teacher Training Assistance Program (Washington, DC: Research and Evaluation Associates, Inc., May 1989).

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations:	Joseph A. Wilkes, (202) 219-2186
Program Studies:	Edward Glassman, (202) 401-3132

Public Library Services--Grants To State Library Agencies
(CFDA No. 84.034)

I. Legislation

Library Services and Construction Act (LSCA), Title I, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1957	$2,050,000	1986	$70,339,000
1960	7,500,000	1987	78,400,000
1965	25,000,000	1988	7,406,280
1970	29,750,000	1989	9,388,820
1975	49,155,000	1990	80,854,900
1980	62,500,000	1991	82,218,972
1981	62,500,000	1992	82,220,040
1982	60,000,000	1993	81,562,280
1983	60,000,000	1994	81,562,460
1984	65,000,000	1995	81,562,460
1985	73,500,000	1996	90,783,280

III. Analysis of Program Performance

A. Goals and Objectives

Title I (Public Library Services) of the Library Services and Construction Act provides formula grants to the states to help public libraries establish, expand, and improve library services. The statute allows funds to be expended for a variety of purposes to achieve this overarching goal, which may be subdivided into three more specific objectives:

1. To promote access to public libraries for special population groups through innovative service programs using new technologies;

2. To encourage access to library and information services for special population groups having difficulty accessing such services; and

3. To support innovative service strategies that enhance reading and technology skills for public library users.

B. Strategies to Achieve the Goals

Services Supported

The statute allows specifically for funds to be used to provide library access for all persons who by reason of distance, residence, handicap, incarceration, or other disadvantage are unable to receive the benefits of public library services and to help public libraries to:

- Combat illiteracy and establish model literacy centers;
- Provide intergenerational programs matching older adult volunteers and children for after-school literacy and reading skills programs;
- Provide services to individuals with limited English-speaking proficiency and to the elderly;
- Provide mobile library services and programs to child-care providers or child-care centers;
- Serve as community information referral centers;
- Strengthen major urban resource libraries and metropolitan public libraries which serve as regional centers; and
- Strengthen the capacity of state library administrative agencies to meet these library and information needs.

State library administrative agencies provide support for approximately 1,900 public library service projects through subgrants to public libraries. These projects included the following:

1. Statewide summer reading programs;
2. Homework centers established to assist elementary and secondary school students after school hours;
3. The use of technology to provide access to information services for all citizens, including the blind and disabled;
4. The development of cooperative collection development policies at the State or local level;
5. Literacy programs for adults and school dropouts; and
6. Activities for the elderly, including large-print books, library services to retirement homes, bookmobiles, and books-by-mail services.

Strategic Initiatives

The major initiatives undertaken in FY 1995 were to streamline administrative processes and provide enhanced support services to state library administrative agencies and to encourage subgrants to provide increased public library access for underserved populations. Three main strategies were employed:

1. Implement improvements in the administration of the LSCA Title I by state library administrative agencies by simplifying reporting procedures for subgrant awards to local libraries serving targeted populations.

2. Provide improved technical assistance to state library administrative agencies by developing a database of information on subgrant projects that are intended to meet the needs of targeted populations. This data can be used when providing technical assistance to states and public libraries.

3. Analyze and report to state and public libraries and to professional associations on the evaluation of subgrant projects that successfully encourage reading and learning for targeted populations.

In FY 1995 the Department continued to work with state library administrative agencies to:

- Improve evaluation through training institutes for state directors and LSCA state coordinators;

- Develop an automated information management system to collect data from the state annual reports, especially to improve the data collection and analysis of underserved population groups;

- Foster more thorough long-range planning for statewide public library development through reviews of the LSCA long-range plan and annual update documents; and

- Establish better communications with state library administrative agencies through the use of the Internet.

C. Program Performance—Indicators of Impact and Effectiveness

Funds in FY 1996, according to state annual reports (V.1.), were allocated as follows:

- 43 percent to upgrade local public library services;

- 21 percent to strengthen state library administrative agencies for statewide public library improvements;

- 20 percent to improve services to targeted populations, such as the blind and disabled, the disadvantaged, the institutionalized, and the functionally illiterate; and

- 16 percent to provide for library institutional needs, such as major urban and metropolitan public libraries serving as regional resource centers.

IV. Planned Studies

None.

V. Sources of Information

1. State annual performance reports.

2. Program files.

VI. Contacts for Further Information

Program Operations:	Robert Klassen, (202) 606-5256
Program Studies:	Frank Forman, (202) 401-3624

Public Library Construction and Technology Enhancement Grants to State Library Agencies (CFDA No. 84.154)

I. Legislation

Library Services and Construction Act (LSCA), Title II, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1997).

II. Funding History 1/

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$30,000,000	1987	$22,050,000
1970	7,807,250	1988	22,143,100
1975	0	1989	21,877,520
1980	0	1990	18,572,036
1981	0	1991	18,833,395
1982	0	1992	16,383,640
1983	50,000,000	1993	16,252,571
1984	0	1994	17,436,160
1985	24,500,000	1995	17,436,160
1986	21,102,000	1996	16,041,620

1/ There is no time limit for the expenditure of these funds.

III. Analysis of Program Performance

A. Goals and Objectives

Title II (Public Library Construction and Technology Enhancement) of the Library Services and Construction Act provides formula grants to the states to help public libraries construct and remodel public library buildings and provide other technology enhancements.

B. Strategies to Achieve the Goals

Services Supported

The state library administrative agencies annually provide support for 300 construction and technology projects through subgrants to public libraries. The program serves all communities that match the federal funds on at least a one-to-one basis and have a state-approved application.

Projects included the following:

- Constructing of new library buildings;
- Acquiring, expanding, remodeling, and altering existing buildings;
- Remodeling to ensure safe working environments and to conserve energy;
- Meeting the requirements of the Americans with Disabilities Act;
- Purchasing historic buildings for conversion to public libraries; and

- Acquiring, installing, maintaining, or replacing equipment necessary to provide access to information and communication technologies.

Strategic Initiatives

The major initiatives undertaken in FY 1995 were to streamline administrative processes and provide enhanced support services to state library administrative agencies, and to encourage subgrants for the building of public library facilities in areas where none exist.

Initiatives included:

- Implement improvements in the administration of the LSCA Title I by state agencies by simplifying reporting procedures for subgrant awards to local libraries serving targeted populations.

- Provide improved technical assistance to state library administrative agencies by developing a database of information on subgrant projects that are intended to meet the needs of targeted populations.

- Analyze and report on the evaluation of subgrant projects that successfully encourage reading and learning for targeted populations.

In FY 1995 the Department continued to work with state library administrative agencies to:

- Improve evaluation through training institutes for state directors and LSCA state coordinators;

- Develop an automated information management system to collect data from the state annual reports; and

- Foster more thorough long-range planning for statewide public library development through reviews of the LSCA long-range plan and annual update documents.

C. Program Performance—Indicators of Impact and Effectiveness

Recent state library annual reports (V.1.) show that the Title II funds were expended at the local level as following:

- 64 percent--Remodel public libraries to conserve energy, to improve access for the disabled, and to accommodate the use of new technologies;

- 23 percent--Build public library additions and pay for acquisition costs, land purchases, and architectural fees; and

- 13 percent--Construct new public library buildings

The federal project funds were matched by state and local sources at a level of eight to one in FY 1994. A match at the same level was expected in FY 1995 and FY 1996.

IV. Planned Studies

None.

V. Sources of Information

1. State annual performance reports.

2. Program files.

VI. Contacts for Further Information

Program Operations:	Robert Klassen, (202) 606-5256
Program Studies:	Frank Forman, (202) 401-3624

Interlibrary Cooperation And Resource Sharing--
Grants To State Library Agencies
(CFDA No. 84.035)

I. Legislation

Library Services and Construction Act (LSCA), Title III, (20 U.S.C. 351 et seq.) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$375,000	1987	$17,640,000
1970	2,281,000	1988	18,295,620
1975	2,594,000	1989	18,719,960
1980	5,000,000	1990	19,159,980
1981	12,000,000	1991	19,509,586
1982	11,520,000	1992	19,509,840
1983	11,520,000	1993	19,353,761
1984	15,000,000	1994	19,354,020
1985	17,640,000	1995	23,226,000
1986	16,881,000	1996	17,640,000

III. Analysis of Program Performance

A. Goals and Objectives

Title III (Interlibrary Cooperation and Resource Sharing) of the Library Services and Construction Act provides formula grants to the states to assist libraries with cooperative library networks and to promote resource sharing among public, academic, school, and special libraries. States may also use funds to develop the technological capacity of libraries for resource sharing, to support programs for the preservation of endangered library materials, and to reimburse school libraries for making their resources available to the public after school hours.

B. Strategies to Achieve the Goals

Services Supported

The state library agencies annually provide partial support for about 480 regional, state, and local cooperative library projects through subgrants to various government entities.

Historically, libraries have approached the opportunities to share resources in a somewhat similar manner, by identifying the location of materials and compiling that information into a master holdings list of books (union catalogs) and periodicals (union lists of serials) and then developing ways in which other libraries could borrow the materials (interlibrary loan). But the paper copies of the lists of materials had to be produced and distributed, and the sharing of materials on loan had to be physical; hence, their delivery often took several days or weeks. As new technologies became available, data were transferred to microfiche, CD-ROM, and now to online databases. Fax machines and computers now can provide almost instantaneous transmission of such information. The grants and subgrants support these services.

The 1990 reauthorization of the LSCA placed increasing emphasis on the development of the technological capacity of libraries for interlibrary cooperation and resource sharing. While some states are still building their databases, others use Title III funds to develop increasingly sophisticated integrated online systems that will connect to the "information superhighway." A number of states are already able to access the Internet and many others have plans to do so in the near future.

Strategic Initiatives

In FY 1995 the Department continued to work with state library administrative agencies to:

- Improve evaluation through training institutes for state directors and LSCA State Coordinators;
- Develop an automated information management system to collect data from the state annual reports;
- Foster more thorough long-range planning for statewide public library development through reviews of the LSCA long-range plan and annual update documents;
- Encourage active interest in the benefits of networks for all types of libraries, particularly in small communities with inadequate collections; and
- Monitor the statewide resource-sharing plans to determine whether they address the following major areas:
    - Providing bibliographic access to computerized databases and other communication systems for information exchange;
    - Developing delivery systems for exchanging materials among libraries;
    - Projecting computer and other technological needs for resource sharing; and
    - Analyzing and evaluating the state's library resource-sharing ideas.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed.

IV. Sources of Information

1. State annual performance reports.

2. Program files.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations: Robert Klassen, (202) 606-5256

Program Studies: Frank Forman, (202) 401-3624

Library Services for Indian Tribes and Hawaiian Natives--Basic and Special Projects Discretionary Grants

(CFDA No. 84.163)

I. Legislation

Library Services and Construction Act (LSCA), Title I, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1985	$2,360,000	1991	$2,460,448
1986	2,211,000	1992	2,410,480
1987	2,410,000	1993	2,391,196
1988	2,405,000	1994	2,415,360
1989	2,448,700	1995	2,494,380
1990	2,419,120	1996	2,540,000

III. Analysis of Program Performance

A. Goals and Objectives

1. To promote the extension of public library services to Hawaiian natives and federally recognized Indian tribes;
2. To encourage the establishment and expansion of tribal library programs; and
3. To improve the administration and implementation of library services for program recipients by providing funds to establish new programs and to support ongoing ones.

B. Strategies to Achieve the Goals

Services Supported

There are three types of grants: basic grants for Indian tribes and Alaskan villages, basic grants for Hawaiian natives, and special projects. Basic grants are not competitive. Federally recognized Indian tribes and Hawaiian native organizations recognized by the governor of Hawaii that apply are eligible for awards. Special project grants to Indian tribes are competitive and are available only to Indian tribes that have first received a basic grant. Hawaiian native organizations request all available funds under the basic grant program and do not participate in the special projects program. Both basic and special project grants last for one year.

In FY 1995, 207 of the 210 basic grant applications received were funded, and 13 of the 56 special project applications received, were funded. In FY 1996, 194 of the 196 basic grant applications received, were funded and 11, of the 65 special project applications received, were funded. Hawaii is included in the basic grants count.

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Basic grants for Indian tribes and Alaskan villages.

The majority of the basic grant awards are being used to purchase library materials (including computer software) and to supplement the salaries of tribal library personnel. For Indian tribes, the 207 basic grants in FY 1995 and 194 in FY 1996 and the 13 special project grants in FY 1995 and 11 in FY 1996 supported the following public library services: training or salaries of tribal library personnel; purchase of library materials; promotion of increased awareness of tribal library needs; support of special library services; and construction, renovation, or remodeling of library buildings.

Basic grants for Hawaiian natives.

One basic grant was made to the Hawaiian native organization named by the governor of Hawaii. The FY 1995 and FY 1996 single grants served the needs of Hawaiian natives by supporting projects that improve development of outreach programs, increase access, enhance evaluation, and provide employment training for Hawaiian natives. Awards also supported special outreach programs to four islands to improve preschool parental involvement in children's reading and library use.

Special projects grants.

Three of the 12 Indian tribes that received special project grants used funds to build or renovate library facilities. The remaining special project grants pay for salaries and training of tribal members as library personnel and strengthen special tribal collections by paying for selected library materials and library computer systems.

Strategic Initiatives

Plans to improve program administration include :

- Conducting a technical assistance conference;
- Increasing the number of qualified potential field readers;
- Disseminating program achievements; and
- Improving project monitoring.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are being developed.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Kathy Price, (202) 219-1670
Program Studies:	Frank Forman, (202) 401-3624

Library Literacy Program--Discretionary Grants to State and Local Public Libraries
(CFDA No. 84.167)

I. Legislation

Library Services and Construction Act (LSCA), Title VI, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,000,000
1988	4,787,000
1989	4,730,000
1990	5,365,000
1991	8,162,894
1992	8,163,000
1993	8,097,696
1994	8,098,000
1995	8,026,000
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

This program supported adult literacy programs in state and local public libraries. State libraries coordinated and planned library literacy programs for adults and arranged for the training of librarians and volunteers to carry out such programs. Local public libraries promoted the use of the voluntary services of individuals, agencies, and organizations in providing adult literacy programs; acquired library materials for literacy programs; and used library facilities for literacy programs. There were no appropriations after FY 1995 and this is a close out report.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.

2. OERI Announcement of FY 1993 Grants Awards (including project abstracts), published annually by the Office of Library Programs, U.S. Department of Education.

VI. Contacts for Further Information

Program Operations: Judy Stark, (202) 219-1315

Program Studies: Frank Forman, (202) 401-3624

College Library Technology and Cooperation Grants
(CFDA No. 84.197)

I. Legislation

The Higher Education Act of 1965, Title II, Part A (20 U.S.C. 1029, 1047) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1988	$3,590,000
1989	3,651,000
1990	3,732,000
1991	3,904,000
1992	6,404,000
1993	3,872,768
1994	3,872,768
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

This program was designed to encourage resource-sharing projects among the libraries of institutions of higher education through the use of technology and networking; to improve the library and information services provided to the libraries of institutions of higher education by public and nonprofit, private organizations; and to conduct research or demonstration projects that meet special needs of libraries by using innovative technology to enhance library and information sciences such as that to be made available by the National Research and Education Network.

There were no appropriations after FY 1994 and this is a close-out report.

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. OERI Announcement of FY 1993 Grants Awards (including project abstracts), published annually by the Office of Library Programs, U.S. Department of Education.

VI. Contacts for Further Information

Program Operations:	Neal Kaske, (202) 219-1315
Program Studies:	Frank Forman, (202) 401-3624

Library Education & Human Resource Development--Discretionary Grants to and Contracts with Institutions of Higher Education and Library Organizations or Agencies
(CFDA No. 84.036)

I. Legislation

The Higher Education Act (HEA) of 1965, Title II-B (Section 222), as amended by Public Law 102-325, the Higher Education Act Amendments of 1992 (20 U.S.C. 1021, 1022, 1023, 1031, 1032, and 1034) (expires September 30, 1997).

The Higher Education Amendments of 1992 changed the program title from Library Career Training Program to Library Education and Human Resource Development Program.

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$1,000,000	1991	$ 651,000
1970	4,000,000	1992	5,000,000
1975	2,000,000	1993	4,960,000
1980	667,000	1994	4,960,000
1985	40,000	1995	4,916,000
1990	570,000	1996	2,500,000

III. Analysis of Program Performance

A. Goals and Objectives

The Library Education and Human Resource Development Program assists institutions of higher education and library organizations and agencies to:

- Train persons in the principles and practices of librarianship and information science (including new techniques of information transfer and communication technology), and
- To recruit, educate, train, retrain, and retain minorities in the library and information professions.

B. Strategies to Achieve the Goals

Services Supported

The fellowships and institute grants are competitive and are available to institutions of higher education and to library agencies and organizations. Most fellowships and institute grants last for one year; the exception is doctoral fellowship grants, which can be continued for up to three years. In FY 1995 fellowships were targeted for persons seeking an advanced degree in library and information science, specifically, (1) persons seeking training in areas of library specialization where shortages exist, such as school library media, children's and young adult services, science reference, and cataloging; (2) persons who want to become library educators, with an emphasis on planning, evaluation, and research; and (3) persons seeking training in new techniques of information acquisition, transfer, and communications. In FY 1996 fellowships were targeted to only (1) and (3) above.

Target groups for institutes, remained the same in FY 1995 and FY 1996. These were for library personnel--primarily school and public librarians (1) pursuing areas of library specialization where there are currently shortages, such as school media, children's services, young adult services, science reference, and cataloging; (2) serving the information needs of people who are elderly, illiterate, disadvantaged, or residents of rural America; or (3) studying new techniques of information acquisition, transfer, and communications technology.

Since the beginning of the program in 1966, fellowships for training in institutions of higher education have assisted 1,503 persons at the doctoral level, 282 at the post-master's level, 3,365 persons at the master's level, 16 at the bachelor's level, and 53 at the associate level. During this same period, institutes have trained or retrained over 25,000 librarians.

Strategic Initiatives

The major initiatives undertaken in FYs 1995-1996 were as follows:

- Provide technical assistance to grantees and potential grantees.
- Clarify application policies, procedures, and evaluation standards; and
- Redesign the annual performance report.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Chris Dunn, (202) 219-1315
Program Studies:	Frank Forman, (202) 401-3624

Library Research And Demonstrations--Discretionary Grants and Contracts
(CFDA No. 84.039)

I. Legislation

The Higher Education Act (HEA) of 1965, Title II-B (Section 223) (20 U.S.C. 1021, 1022, and 1033) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$3,550,000	1992	$ 325,000
1970	2,171,000	1993	2,802,000
1975	1,000,000	1994	2,802,000
1980	1,000,000	1994	2,802,000
1985	1,000,000	1995	6,500,000
1990	285,000	1996	3,000,000
1991	325,000		

III. Analysis of Program Performance

A. Goals and Objectives

The Library Research and Demonstrations Program supports research and development relating to:

- The improvement of libraries;
- Education in library and information science;
- The enhancement of library services through effective and efficient use of new technologies; and
- The dissemination of information derived from such projects.

B. Strategies to Achieve the Goals

Services Supported

Discretionary grants and contracts can be awarded to institutions of higher education and other public or private agencies, institutions, and organizations. In FY 1995, the appropriations bill specified that two additional awards, totaling $2.5 million each, be made under the Statewide Multitype Library Network and Database competition conducted in FY 1994, and that $1.5 million be used for a demonstration project to make federal information and other databases available for public use by connecting a multistate consortium of public and private colleges and universities to a public library and a historic library.

In FY 1996, the appropriations bill directed that $1 million be used to continue the existing demonstration project making information available for public use by connecting the Internet to a multistate consortium; that $1 million be awarded to the Survivors of the Shoah Visual History Foundation to document and archive Holocaust survivors' testimony; and that $1 million be awarded to the National Museum of Women in the Arts for activities associated with the archiving of works by women artists.

Until FY 1993, projects under this program were small (under $60,000) and field-initiated, although more substantial projects, such as work leading to the establishment of the Online Computer Library Center (OCLC), a major national bibliographic referral center, was undertaken. Beginning in FY 1993 and continuing through FY 1996, projects were for larger sums ($1 to $2.5 million) and specified for the purposes described above.

Strategic Initiatives

- Provide technical assistance to grantees and potential grantees;
- Clarify policies, procedures, and evaluation standards for research and demonstration applications;
- Redesign the annual performance report;
- Present information about projects, especially project findings, at library and information science conferences or workshops; and
- Develop and publish written information about projects, especially project findings.

C. Program Performance—Indicators of Impact and Effectiveness

With the FY 1995 grants awarded to the West Virginia Department of Education and the Arts to develop the InfoMine network and to the State Library of Iowa, in partnership with Iowa State University of Science and Technology, to develop the SILO network, the number of Statewide Multitype Library Network and Database projects reached four. Each project supports a demonstration of online and dial-in access to a statewide multitype library database through a statewide fiber optic network connecting libraries in every municipality.

The FY 1995 award for a demonstration project to make federal information and other databases available for public use by connecting a multistate consortium of public and private colleges and universities to a public library and a historic library went to Portland State University's PORTALS consortium, which includes 14 public and private academic institutions, the Multnomah County Library, and the Oregon Historical Society, working cooperatively to expand and enrich the information resources needed by the people of the Portland metropolitan area, including Clark County in the state of Washington. The FY 1996, supplemental continues the demonstration by establishing an electronic document delivery network and developing historical databases.

The other two FY 1996 awards (Survivors of the Shoah Visual History Foundation and the National Museum of Women in the Arts) are creating unique electronic databases that will be made available through the Internet to an international audience of scholars, researchers, students, and the general public.

Since FY 1994, Library Programs staff have been meeting at national library conferences with the research and demonstration grantees funded in FY 1993, FY 1994, and FY 1995, to discuss progress of projects, dissemination opportunities, and project evaluation and reporting. In FY 1995 and FY 1996 Library Programs staff held a separate meeting with grantees, focusing on project evaluation. The first meeting was held in Denver, Colorado; the second, in Portland, Oregon. As a result of these meetings, Library Programs staff and the grantees planned a presentation for the 1996 Library Information Technology Association national conference, held in Pittsburgh, Pennsylvania. Library Programs staff also reported on all research and demonstration funded projects in the 1995 and 1996 editions of the Bowker Annual: Library and Book Trade Almanac.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Christina Dunn, (202) 219-1315
Program Studies:	Frank Forman, (202) 401-3624

Strengthening Research Library Resources--Discretionary Grants to Major Research Libraries (CFDA No. 84.091)

I. Legislation

The Higher Education Act (HEA) of 1965, Title II, Part C (20 U.S.C. 1021, 1041) (expires September 30, 1997).

II. Funding History

Fiscal Year	Appropriation
1978	$5,000,000
1980	6,000,000
1985	6,000,000
1990	5,738,000
1991	5,855,000
1992	5,855,000
1993	5,808,160
1994	5,808,160
1995	0
1996	0

III. Analysis of Program Performance

A. Goals and Objectives

To promote high-quality research and education throughout the United States by providing grants to help major research libraries maintain and strengthen their collections, and to help make their holdings available to other libraries and individual researchers and scholars outside their primary clientele.

There were no appropriations after FY 1995 and this is a close-out report.

IV. Sources of Information

1. Program files.

2. Abstracts of Funded Projects, published annually by the Office of Library Programs, U.S. Department of Education.

V. Planned Studies

None.

VI. Contacts for Further Information

Program Operations:	Christina Dunn, (202) 219-1315
Program Studies:	Frank Forman, (202) 401-3624

National Writing Project
(No CFDA No.)

I. Legislation

Title X, Part K of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994 (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1991	$1,952,000
1992	2,500,000
1993	3,212,000
1994	3,212,000
1995	3,212,000
1996	2,955,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to make a grant to the National Writing Project, a nonprofit educational organization which has as its primary purpose the improvement of the quality of student writing and learning, and the teaching of writing as a learning process in the nation's classrooms. The National Writing Project carries out its purpose through (1) supporting the establishment of teacher training programs, (2) supporting classroom research on effective teaching practices and to document student performance, and (3) coordination with the Eisenhower Professional Development Program.

B. Strategies to Achieve the Goals

Begun in 1973, the National Writing Project became a federally funded program in 1991. Based on a "teachers teaching teachers" model, the National Writing Project funds projects at 160 sites in over 45 states. Each Writing Project sponsors five-week invitational summer institutes for teachers at their local universities where teachers, drawing upon their own experience and expertise, provide workshops for other teachers on writing instruction. In 1995 and 1996, the program raised over five additional dollars for every federal dollar of funding. The program trained over 120,000 teachers in 1995 and over 132,000 in 1996.

The program's legislation directs that all federal funds be awarded via a noncompetitive grant to the National Writing Project, Inc. located in Berkeley, California, which, in turn, competitively awards 160 one-year contracts annually. A number of the contracts made each year are to continue previously funded projects.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are under development.

IV. Planned Studies

The "National Writing Project Survey," by Inverness Research Associates is a report prepared and distributed annually.

V. Sources of Information

1. Program files.
2. "National Writing Project 1995 Fact Sheet."

VI. Contacts for Further Information

Program Operations: Cynthia Dorfman, (202) 219-1892

Program Studies: Collette Roney, (202) 401-5245

Educational Improvement Partnerships -- National Programs
National Diffusion Network
(CFDA No.84.073)

I. Legislation

Title XIII, Part B of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994, (20.U.S.C. 8651-8652) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1971	$ 9,100,000	1992	$14,700,000
1975	8,400,000	1993	14,582,400
1980	10,000,000	1994	14,582,000
1990	12,837,000	1995	11,780,000
1991	14,510,812	1996	0

III. Program Goals and Objectives

The purpose of the National Diffusion Network was to promote national dissemination and use by public and nonprofit educational institutions of effective education practices, products, programs, and processes developed by local school districts, colleges, and universities, and other public or private, nonprofit organizations, agencies, or institutions.

Program appropriations ended in FY 1995. This is a close-out report on the program.

IV. Planned Studies

None.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Steve Balkcom, (202) 219-2089
Program Studies:	Collette Roney, (202) 401-5245

Dwight D. Eisenhower Mathematics and Science Education--Regional Consortia Program
(CFDA No. 84.168)

I. Legislation

Elementary and Secondary Education Act of 1965 as amended by Title XIII, Part C of the Improving America's Schools Act of 1994 (20 U.S.C. 8671) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1992	$12,000,000
1993	13,590,000
1994	13,871,000
1995	15,000,000
1996	15,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of the Regional Consortia Program is to disseminate exemplary mathematics and science education instructional materials and provide technical assistance in the implementation of teaching methods and assessment tools for use in elementary and secondary schools. (Prior to the 1994 reauthorization, the program was known as the "Eisenhower Mathematics and Science Regional Consortiums Program.")

B. Strategies to Achieve the Goals

Services Supported

The regional consortia are authorized to provide a variety of services to support systemic reform in math and science education. Examples of those services are as follows:

- Provide technical assistance to help states adopt world-class standards in mathematics and science education, formulate curriculum frameworks, and develop and implement new forms of assessment and teacher in-service and preservice education consistent with these standards and frameworks.

- Identify and disseminate information regarding informal mathematics and science education activities and programs and exemplary mathematics and science education materials, teaching methods, and assessment tools for use in elementary and secondary schools.

- Train and provide technical assistance to classroom teachers, administrators, and other educators to adapt and use the curriculum frameworks, educational materials, teaching methods, assessment tools, and educational technology.

- Work with the other regional consortium and with the Eisenhower National Clearinghouse; all consortia are to maintain on-line computer communications with the other consortia and with the clearinghouse.

C. Program Performance—Indicators of Impact and Effectiveness

The performance indicators for the Eisenhower Regional Consortia Program are still under development. Final indicators are planned for summer or fall 1997.

IV. Planned Studies

During FY 1993 the Department of Education began a congressionally mandated evaluation (P.L. 103-382, Title XIII, Part C, Section 13306) of the Regional Consortiums Program. The purpose of the evaluation is to examine the extent to which the program is contributing to systemic reform in mathematics and science education.

The first report, *Evaluation of the Dwight D. Eisenhower Mathematics and Science Regional Consortiums Program: First Interim Report*, was released in 1996 (V.2.). The final report will be available in late 1997 (V.3.). The final report will address the quality and effectiveness of regional consortium services.

The evaluation is part of a larger effort by the Department to examine the contributions of both the Eisenhower Mathematics and Science Education State Curriculum Frameworks Projects and Eisenhower Regional Consortia Program to systemic reform and improvement in math and science education. The evaluation is being conducted in collaboration with the National Science Foundation's (NSF) evaluation of its Statewide Systemic Initiatives (SSI) Program and the study of state curriculum frameworks in math and science by the Council of Chief State School Officers. The purpose of this collaboration is to develop a comprehensive perspective across education reform efforts, as well as to avoid duplication of efforts.

The *First Interim Report* (V.2.) discusses the efforts of the consortia to build working relationships and develop their own niche, within the program's broad mandates from Congress and the Department, given the many activities already under way in the regions when the consortia began. The report points out that many of the initial consortia's efforts have focused on process, such as convening meetings, as they have attempted to establish an active role in reform.

In the *First Interim Report*, the evaluators identified six principal categories of consortia activities:

1. **Professional development**. The consortia provided their own professional development and supported professional development conducted by others. The professional development included long-term and short-term activities. Typically, the consortia provided little direct follow-up support, but the evaluation did find some examples of successful leveraging of follow-up support by the consortia.

2. **Support for state teams and regional networks**. Convening groups and building state and regional networks were major activities of the consortia. They provided funding and staff support and facilitated meetings. In some cases, the groups collaborated on projects; in others, the focus was on the actual process of forming the group.

3. **Task-specific assistance**. The consortia have provided individual services to state and regional groups and to some school districts and schools, including assistance to Eisenhower State Curriculum Frameworks and SSI projects. The consortia have used this opportunity to showcase what they have to offer and to build working relationships. Some of the consortia services have focused substantively on math and science education, such as work on curriculum frameworks, instructional practices, and assessment. Other task-specific assistance from the consortia has focused on process, such as facilitating meetings and helping to plan projects.

4. **Dissemination**: The consortia have worked together to identify and disseminate examples of promising practices in math and science education. They have used technology to develop electronic databases and establish technology demonstration sites in collaboration with the Eisenhower National Clearinghouse. In addition, the consortia have produced and disseminated their own newsletters and a small number of other products.

5. **Purchasing materials and equipment**. To support school efforts to improve math and science education, the consortia have provided funds to purchase materials and equipment, including computer hardware, software, and accounts for access to the Internet. Although information is limited on the use and impact of this activity, it appears to benefit very small numbers of people in few sites.

6. **Networking among the Consortia**. Directors began meeting early on to develop a national network among the consortia and the Eisenhower National Clearinghouse to support education reform in math and science. Much of the collaboration has focused on working with the clearinghouse to identify and disseminate information about promising practices.

While the *First Interim Report* provided an overview of the role and early operations of the Eisenhower Regional Consortia, the final report will focus on the effectiveness and quality of selected consortium activities in professional development, support for teams and networks, dissemination of promising practices, the use of technology, and the networking and cooperating efforts of the consortia. These areas of consortium activities and services were selected because of their prominence in the consortia's portfolios at the design phase of this part of the evaluation. Data collected for the final report draw heavily on participants in the consortium activities (V.3.).

The final report will be available in late 1997. Preliminary findings indicate the following about consortia activities:

- **Professional Development**. Participants in professional development generally praised the consortia not only for the quality of the offerings but also for the contributions to skills, knowledge, and changes in behavior. Participants identified three specific areas where changes in behavior were prevalent: individual professional practice, communication with others, and organizational policies or practices.

- **Support for Teams and Networks**. Consortia have convened and supported teams and networks to establish links to the field and to provide opportunities for educators to work together on common tasks. Members of these groups include individuals from colleges and universities, state education agencies, local school districts, and other organizations. Many are grantees of federally funded programs, such as the Statewide Systemic Initiatives (SSI) Program and State Curriculum Frameworks Projects, and most are involved in mathematics and science education.

  Members of teams and networks value these groups for providing opportunities to open new lines of communication with people whom they otherwise might not meet, to discuss important issues, and to forge new working relationships within their States and across regions.

- **Promising Practices**. The consortia successfully disseminated *Promising Practices in Mathematics and Science Education*, a publication developed during the first grant period which focused on innovative programs and practices with the potential for replication in other settings.

- **Use of Technology**. In general, the consortia have gone beyond their mandate and are using technology in a variety of ways to further the goals of the program. For example, all consortia have established World Wide Web sites, but the sites vary in sophistication and the amount of information they contain. Some consortia facilitate the work of teams, networks and other groups by establishing and maintaining electronic networks among the members.

- **Networking and Coordination**. Cross-consortia task forces that develop products for use by all help the consortia achieve economies of scale and allow them to capitalize on the strengths of individual consortia. Current efforts to develop a reporting system and an indicator system for the Regional Consortia Program have the potential to build the consortia's capacity to assess the quality and impact of their activities and services.

In addition to the information obtained from the national evaluation, grantees are required to submit annual performance reports to the Department on the consortia's progress toward achieving objectives.

V. Sources of Information

1. Program files and program abstracts.

2. M. Bruce Haslam, Kelley Colopy, Brenda J. Turnbull, with the assistance of Lee Anderson, Daniel C. Humphrey, Camille Marder, and Patrick M. Shields, Evaluation of the Dwight D. Eisenhower Mathematics and Science Regional Consortiums Program: First Interim Report (Washington, D.C.: Policy Studies Associates and SRI, International, 1996).

3. Evaluation of the Dwight D. Eisenhower Mathematics and Science Regional Consortia Program: Final Report (Washington, D.C.: Policy Studies Associates and SRI International, forthcoming).

VI. Contacts for Further Information

Program Operations:	Patricia Ross, (202) 219-2169
Program Studies:	Liz Eisner, (202) 401-3630

Dwight D. Eisenhower Professional Development--Federal Activities Program (CFDA No. 84.168)

I. Legislation

Elementary and Secondary Education Act of 1965 as amended by Title II Part A of the Improving America's Schools Act of 1994 (20 U.S.C. 6621) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1985	$9,900,000	1991	$11,711,000
1986	3,875,000	1992	16,000,000
1987	7,200,000	1993	15,872,000
1988	10,771,000	1994	16,072,000
1989	8,892,000	1995	21,356,000
1990	8,781,000	1996	17,984,000

III. Analysis of Program Performance

A. Goals and Objectives

This program provides support for projects of national significance designed to improve the quality of teaching and instruction in the core academic subjects. The program serves public and private elementary and secondary school students, teachers, and related education personnel, through grants to state and local education agencies, state agencies for higher education, educational service agencies, institutions of higher education, and public and private, nonprofit organizations.

B. Strategies to Achieve the Goals

Services Supported

The Eisenhower Federal Activities Program provides support for a wide range of projects designed to improve the quality of teaching and instruction in the core academic subjects in the nation's schools.

The program supports:

- A National Clearinghouse for Mathematics and Science Education, operated through a contract with Ohio State University for FYs 1992-1997, to collect and disseminate instructional materials for elementary and secondary schools through print, CD-ROM, and on-line access, in coordination with other databases of mathematics and science curriculum and instructional materials;
- The National Board for Professional Teaching Standards (NBPTS);

- Statewide alignment of teacher preparation, licensing, and induction, through three-year grants called the Initial Teacher Professional Development (ITPD) grants to nine projects. (The last year of funding for these grants is FY 1997); and

- A variety of professional development projects, relating to the uses of technology, environmental education, and female and minority issues.

C. Program Performance—Indicators of Impact and Effectiveness

The performance indicators for the Eisenhower Federal Activities Program are still under development. In August 1996 the Department awarded a contract to assist the Eisenhower Program in the development of performance indicators for the Eisenhower Federal Activities and Regional Consortia Programs. Final indicators will be established in the summer or fall of 1997.

IV. Planned Studies

During FY 1993 the Department of Education awarded a contract for an evaluation of the State Curriculum Frameworks Projects--projects funded with grants from the Eisenhower Federal Activities Program. The purpose of the evaluation is to examine the extent to which the State Curriculum Frameworks Projects are contributing to systemic reform in mathematics and science education, how they relate to other reform efforts, and how lessons learned can benefit future reform efforts. The first report, *Evaluation of the Dwight D. Eisenhower Mathematics and Science State Curriculum Frameworks Projects: First Interim Report*, was released in 1996 (V.2.). The final report will be available in late 1997.

This study is part of a larger evaluation effort by the Department to examine the contributions of both the Eisenhower Mathematics and Science Education State Curriculum Frameworks Projects and the Eisenhower Regional Consortia Program to systemic reform and improvement in math and science education. The Eisenhower evaluation is being conducted in collaboration with the National Science Foundation's evaluation of its Statewide Systemic Initiatives (SSI) Program and the study of State curriculum frameworks in math and science by the Council of Chief State School Officers (CCSSO). The purpose of this collaboration is to develop a more comprehensive perspective across education reform efforts, as well as to avoid duplication of efforts.

Under the Eisenhower National Program, the Department awarded state curriculum framework grants for 1992-95 to the District of Columbia, Florida, Nebraska, New Jersey, New York, and Rhode Island. The Department awarded grants for 1993-96 to Alaska, Arizona, Arkansas, Delaware, Louisiana, Maine, Massachusetts, Michigan, Oregon, and Wisconsin. The grantee states were charged with four tasks:

1. To develop curriculum framework documents that would provide guidelines for the content of the curriculum and for the organization and presentation of that content;

2. To develop model guidelines for effective approaches to teacher education and certification based on world-class standards and the state curriculum frameworks tied to those standards;

3. To develop criteria for teacher recertification; and

4. To design and pilot-test a model, cost-effective in-service professional development program for teachers based on world-class standards and the state curriculum frameworks tied to those standards.

To examine results of the Eisenhower State Curriculum Frameworks Projects, the four-year evaluation continues beyond the end of the second cohort of grants. The *First Interim Report* documented the following findings with regard to the development of curriculum frameworks; teacher education, licensing, and professional development; and collaboration across reform efforts:

Results regarding development of curriculum frameworks. In the *First Interim Report* (V.2.) the researchers noted that the projects had made substantial progress in developing curriculum frameworks. Typically, state departments of education led the planning of the project--consulting with key stakeholders and, getting thousands of teachers, other professionals, and the public involved in discussions about what students should know and be able to do. Grantee states conceptualized the frameworks as a bridge between national standards and local classroom practice to help educators improve content and instruction aligned with national standards.

Because of local control, Oregon was a notable exception to the more common pattern of framework development. Instead of adopting a single state framework, Oregon was supporting the development of individual frameworks by 14 school districts. The state planned to collect portfolios from each of the 14 projects and place them on CD-ROM for distribution throughout Oregon.

In collaboration with CCSSO's study of frameworks, funded by the National Science Foundation, the evaluation assembled a joint working group of nationally recognized experts to establish criteria and review the 23 state curriculum framework documents available, including six from Eisenhower grantee states. Some findings from the expert review of the 23 frameworks provided in the evaluation report (V.2.) are as follows:

- State frameworks included vision statements that supported high-quality mathematics and science education for all students, emphasizing higher-order skills.
- State frameworks generally included a statement on the need for greater equity in their rationale or vision statement, but consistently lacked strategies to promote equity.
- In general, the frameworks recommended alternative assessment strategies for classrooms consistent with content standards, but did not provide a strong link to reform of state assessment programs.

Teacher education, licensing, and professional development. In contrast to the development of curriculum frameworks by Eisenhower grantees, the evaluation found that during the first two years of the grant period, there was little progress in the development of guidelines for teacher education and certification, criteria for recertification, and model in-service professional development. States expressed the need for more time, up to an additional two years, to complete the Eisenhower projects. Progress varied across projects, depending on the status of state reforms at the start of the project; extensiveness of participation in the development and review processes; extent to which new approaches, such as integration of disciplines, were used; and other factors.

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Collaboration across reform efforts. The evaluation examined collaboration between the Eisenhower frameworks projects and related reform efforts. In almost all of the 10 states with both Eisenhower state curriculum frameworks and SSI grants, the evaluation found regular communication between the Eisenhower projects and SSI, sometimes through formal coordinating committees or overlapping leadership. The very process of preparing an SSI grant application had helped states form coalitions and develop direction and strategies for reform.

The Eisenhower Regional Consortia contributed to framework development in many grantee states, as well as in states without Eisenhower curriculum framework projects. Linkages with the Eisenhower State Grant Program were only beginning to emerge during the initial phase of the evaluation. In general, however, Eisenhower state coordinators were involved in the framework projects and expected the frameworks to help guide their own Eisenhower programs.

The final report will be available in late 1997. Preliminary findings indicate the following (V.4.):

Progress in development of curriculum frameworks. As of spring 1997, 15 of the 16 project states had completed frameworks. In 7 of the 16 states, the projects sought official validation of the frameworks from the state board of education or the legislature.

Each of the states had three common concerns in developing frameworks:

1. ***Quality***. The desire to produce high-quality frameworks;

2. ***Consensus***. The desire to produce frameworks that are supported by teachers and the public; and

3. ***Effective Implementation***. The desire to influence educational policy and practice with the new frameworks.

In each state, one of the three concerns was usually more important than the others because of the context of educational reform and practice of the state. For example, one state's framework was designed to force a rethinking of the traditional boundaries among math, science, and technology. Therefore, in that state the project team decided that an extensive review process would be needed to build the necessary consensus among the public and teachers. Likewise, in another state the project team decided that the only document that would be influential in local communities was one that was written exclusively by teachers.

The development of related products and activities. The framework documents received much more attention and resources than did the other products. In addition, each of the states followed very different development strategies for the other products. The strategies can be classified as follows:

- Drafting a document that recommends particular courses of action in the areas of teacher certification, recertification, and professional development;

- Implementing a set of activities such as framework-based workshops;

- Working with or handing off to an existing task force or project the responsibility for addressing one of these issue areas; and

- Choosing not to address particularly difficult issues like teacher recertification.

The final report from the evaluation of the Curriculum Frameworks Projects will be available in late 1997.

In addition to the evaluation of the Curriculum Frameworks Projects, each of the Initial Teacher Professional Development (ITPD) projects is required to submit an annual performance report and a final report to the Department's Office of Educational Research and Improvement. The final report is due 90 days after the end of the current grant period, December 1998. Finally, the Eisenhower National Clearinghouse is conducting an evaluation of its activities; the evaluation report will be available at the end of September 1997.

V. Sources of Information

1. Program files and program abstracts.

2. Daniel C. Humphrey, Patrick M. Shields, Lee Anderson, with the assistance of Kelly Colopy, M. Bruce Haslam, Camille Marder, Ellen M. Pechman, and Brenda Turnbull, Evaluation of the Dwight D. Eisenhower Mathematics and Science State Curriculum Frameworks Projects: First Interim Report (Washington, D.C.: Policy Studies Associates and SRI International, 1996).

3. R. K. Blank and E. M. Pechman, State Curriculum Frameworks in Mathematics and Science: How Are They Changing Across the States?, (Washington, DC: Council of Chief State School Officers, 1995).

4. Daniel C.Humphrey, Patrick M. Shields, Lee Anderson, Camille Marder, with the assistance of Nancy Adelman, Ellen M. Pechman, Rolf Blank, Julia McMillan, Amy Spiegel, Laura Collins and Judi Powell, Dwight D. Eisenhower Mathematics and Science State Curriculum Frameworks Projects: Final Evaluation Report, (Washington, D.C.: Policy Studies Associates and SRI International forthcoming).

VI. Contacts for Further Information

Program Operations:	Patricia Ross, (202) 219-2169
Program Studies:	Liz Eisner, (202) 401-3630

Technology Innovation Challenge Grants [1]
(CFDA No. 84.303A)

I. Legislation

The Elementary and Secondary Education Act of 1965, as amended by Section 3136, Title III, P.L. 103-382 (20 U.S.C. 6846) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1995	$7,500,000
1996	38,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to support the development of innovative applications of technology in schools. This includes support of consortia that use new technologies to strengthen school reform efforts that improve access to computers, improve the networking of computers, improve student achievement, and provide sustained professional development of teachers, school administrators, and school library personnel. Each consortium must include at least one local education agency (LEA) that has a high percentage or number of children living below the poverty line. An LEA must serve as the applicant and fiscal agent on behalf of the consortium.

B. Strategies to Achieve the Goals

Services Supported

Most Challenge Grants are integrated into local school reform initiatives pushing for higher standards and improved student achievement in mathematics and sciences, language arts, the humanities, and the arts. At least one-third of the grants include new applications of technology to improve school-to-work transition for students who will be working in a high-tech economy.

Five of the first–year grants support networks of teachers for sustained professional development, and two create "virtual museum" or research environments. One of the grants was awarded to a Bureau of Indian Affairs school (Laguna Pueblo, NM) to support a network of reservation schools that are developing new curricula for American Indian students.

Partners in the consortium are expected to make substantial commitments for the costs of equipment, technical support and any other costs associated with acquiring network linkages or telecommunication services. Challenge Grant funds may also be applied to these costs, but their primary purpose is to augment the consortium investments by supporting the development of new content, professional development, and the evaluation of educational effectiveness. In FY 1995 (the first round of the competition) the total value of all commitments made by Challenge Grant partners exceeded the total value of the grants by three–to–one. Some $72 million was committed to 19 projects for which the Challenge Grant funding totaled approximately $15 million for the year. The FY 1996 grants leveraged $154 million in additional funding from all sources for Technology Innovation Challenge Grant activities.

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[1] This program was called "Challenge Grants for Technology in Education" in FYs 1995 and 1996.

C. Program Performance—Indicators of Impact and Effectiveness

Program performance indicators that are integrated with program performance indicators for other education technology programs are being developed.

The 19 funded projects are just finishing the second year of their five-year grants. In their first full year of operation, these Challenge Grants reached the classrooms of 1.2 million students; almost 5,000 teachers participated in training and professional development activities. Although it is too early to speak of outcomes, the grantees have had a successful start-up (despite disruptions of their FY 1996 funding), and were prepared to move from pilot sites into full implementation during the 1996-97 school year. Many grantees report that the Challenge Grant has attracted additional matching commitments from new consortium partners and non–government funding sources. Some 586 applications were received in the FY 1996 competition, and 24 of these applicants received new Challenge Grants.

IV. Planned Studies

A comprehensive program evaluation for Challenge Grants began in FY 1997. This includes groundwork for the evaluation designs of each individual grant.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Thomas G. Carroll, (202) 208-3925
Program Studies:	Jeffery Rodamar, (202) 401-1958

Star Schools Program
(CFDA No. 84.203)

I. Legislation

The Star Schools Program, Title III, Part B of the Elementary and Secondary Education Act), as amended (20 U.S.C. 6891-6900) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1988	$19,148,000	1993	$22,777,000
1989	14,399,000	1994	25,944,000
1990	14,813,000	1995	25,000,000
1991	14,416,000	1996	23,000,000
1992	18,417,000		

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the Star Schools Program are (1) to encourage better instruction in mathematics, science, foreign languages, and other subjects such as literacy skills and vocational education, and (2) to serve previously underserved populations including persons who are disadvantaged, are illiterate or have limited English proficiency, and individuals with disabilities through the use of distance learning technologies. Grants allow telecommunications partnerships to acquire telecommunications facilities and equipment, produce and distribute educational programming, and obtain technical assistance.

B. Strategies to Achieve the Goals

Services Supported

Since 1988 the program has provided services -- including equipment, staff development, and instructional programming -- to more than 6,000 schools in 48 states, the District of Columbia, and the Virgin Islands. In addition, the dissemination projects provide technical assistance and training, or disseminate information about distance education opportunities to states and school districts not using distance education.

Strategic Initiatives

The current legislation targets students in urban as well as rural areas who have not traditionally benefited from these technologies. The program is also authorized to make awards for (1) special statewide networks, (2) local network, and (3) continuing education and leadership activities.

C. Program Performance—Indicators of Impact and Effectiveness

Performance Indicators are under development.

IV. Planned Studies

The first formal evaluation of Star Schools was conducted in 1994. The evaluation provided demographic and descriptive information about the projects funded between 1988 and 1994 based on information obtained through project records, interviews with project staff, and site visits to approximately 30 schools participating in Star Schools activities. According to the evaluators, teachers reported increased use of cooperative learning strategies, curriculum experts rated the instructional methods used in the mathematics and science curriculum highly. The evaluators also reported the need to incorporate multiple technologies such as computer networks; link the technology applications to school reform and standards activities at the state and local levels, and to provide continuous teacher training programs. The second formal evaluation, scheduled to begin in the fall of 1997, is intended (1) to determine the extent to which the program has addressed the concerns raised by the first evaluation and (2) to collect benchmark data as a preliminary phase of meeting the program's performance indicators.

All projects include a third party evaluation. A summary of the results of the evaluation reports completed in 1996 and 1997 will be made available to the public. It will include examples of successful implementation strategies, recommendations for future efforts, an analysis of pitfalls to be avoided, and suggestions for incorporating effective data collection strategies for subsequent evaluations.

All projects include a third-party evaluation. The evaluations were to be completed in the spring and fall of 1997. A program evaluation is also planned for 1997.

V. Sources of Information

1. Program files.
2. Evaluation of the Star Schools Program, Final Report, (Los Alamitos, CA: Southwest Regional Laboratory) (December 1994).

VI. Contacts for Further Information

Program Operations:	Joseph Wilkes, (202) 219-2186 Cheryl P. Garnette, (202) 219-2267
Program Studies:	Jeffrey Rodamar, (202) 401-1958

Ready-to-Learn Television
(CFDA No. 84-295)

I. Legislation

The Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994, Title III, Part C (20 U.S.C. 6921-6928) (expires September 30, 1999). The program is administered through a contract to the Corporation for Public Broadcasting (CPB), created in 1967 by the United States Congress.

II. Funding History

Fiscal Year	Appropriation
1995	$6,996,700
1996	6,440,000

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of Ready-to-Learn Television are development of: (1) educational programming for preschool and early elementary school children and their families; (2) educational television programming and ancillary materials to increase school readiness for young children in limited-English-proficient households and to increase family literacy; and (3) accompanying support materials and services that promote the effective use of educational programming.

B. Strategies to Achieve the Goals

Services Supported

The Corporation for Public Broadcasting awarded $4.2 million to the Children's Television Workshop (CTW) and Columbia TriStar Television Distribution. The funds are being used to develop 40 episodes of "Dragon Tales," a daily animated half-hour preschool series to help children develop life skills necessary for learning. "Show and Tell Me," the related weekly series, is designed to educate parents and care givers about ways they can help their children become ready to learn. The CTW will also produce a series of "Parenting Moments," brief between-program spots for television and radio, along with an interactive Internet component for children, parents, and other caregivers.

CPB is also providing $4.2 million to the public broadcaster WGBH Boston, in partnership with Sirius Thinking, Inc., to develop and co-produce 40 episodes of an innovative half-hour daily literacy series, "Between the Lions," for 4 to 7 year olds. In addition, WGBH will produce a related 13-part weekly half-hour series, "Kids and How to Grow Them," for parents and caregivers, along with an interactive online component for the Internet. Also, $1.2 million was awarded to Educational Publishing Group, Inc. of Boston, Massachusetts, in association with WGBH, to create and publish PTV Families and Para la Familia through the project period (also available on CPB and PBS websites). These free, bimonthly publications provide ideas about how to enhance the learning of preschool and early elementary school children.

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Department of Education funds have also been used to expand CPB's "First Book," a free book program for disadvantaged children. The Ready-to-Learn Advisory Board was formed to provide a range of expertise and an ongoing contextual perspective of the project.

C. Program Performance—Indicators of Impact and Effectiveness

Ready-to-Learn seeks to enhance the learning and development of young children and their families through educational television programming. Public television programs are available at no cost to virtually all Americans. The latest audience statistics indicate 96,990,000 people tune in to public television on a weekly basis. Of these, 21,625,000 are children and half are between the ages of two and five. The television programs that are being developed are scheduled to premiere in the 1998-1999 broadcasting season.

The program has also expanded CPB's local educational and community outreach activities from three PBS stations to 95 stations. Through the "First Book" program, these stations have distributed more than 650,000 books to disadvantaged children. In addition to providing a regular allotment of free books to these stations on a monthly basis, a matching book fund has been established to encourage stations to purchase additional books. Many stations have ordered these books in Spanish, English, and other languages. (V.1)

IV. Planned Studies

PBS is in the process of commissioning research to focus on the educational value of workshops and follow-up provided by Ready To Learn Coordinators. The research will include studies with childcare providers, early childhood educators, parents, preschool children, and school-aged children. The design will assess participants both before and after participation in Ready To Learn, will compare Ready To Learn participants with non-Ready To Learn participants, and will verify accuracy of self-reporting. There are also studies planned to survey parents as to their perceptions of the effectiveness of "Between the Lions" and "Dragon Tales." The expected dates for the reports on these studies are March 2000 and December 1999, respectively.

V. Sources of Information

1. Program files.

VI. Contacts for Further Information

Program Operations:	Joe Caliguro, (202) 219-1596
Program Studies:	Tracy Rimdzius, (202) 401-1958

Jacob K. Javits Gifted and Talented Students Education (CFDA No. 84.206)

I. Legislation

Part B of Title X of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994, P.L. 103-382 (20 U.S.C. 8031- 8037) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1989	$7,904,000	1993	$9,607,000
1990	9,888,000	1994	9,607,000
1991	9,732,000	1995	4,600,000
1992	9,732,000	1996	3,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of this program are (1) to provide financial assistance to state and local education agencies, institutions of higher education, and other public and private agencies and organizations to enable them to initiate a coordinated program of research, demonstration projects, personnel training, and similar activities designed to build a nationwide capability in elementary and secondary schools to meet the special educational needs of gifted and talented students; (2) to encourage the development of rich and challenging curricula for all students through the appropriate applications and adaptation of materials and instructional methods developed under this part; and (3) to supplement and make more effective the expenditure of state and local funds for the education of gifted and talented students.

B. Strategies to Achieve the Goals

Services Supported

Authorized activities include (1) preservice and in-service training of personnel involved in gifted and talented education; (2) operation of model or exemplary programs to identify and educate gifted and talented students; (3) provision of technical assistance and information dissemination, including ways in which gifted and talented programs and methods, where appropriate, may be adapted for use by all students; and (4) support for state education agencies and institutions of higher education to assist public and private schools' operation of gifted and talented education programs.

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In FY 1995, one new grant, a technical support services grant, was awarded and 10 continuations grants for providing services for poor and minority students were funded.

In FY 1996, eight discretionary grants were awarded for programs focusing on providing services for poor and minority students. These eight grants will be funded through FY 1998.

The program also sponsors national leadership activities in which experts are convened to generate publications related to the education of gifted and talented students and to help frame a national discussion on education for gifted and talented students.

In addition, this program supports a research center for gifted and talented education using no more than 30 percent of its total appropriation. An FY 1995 competition (competitions are held every five years) awarded a grant of $1,250,000 to a consortium led by the University of Connecticut and including the University of Virginia and Yale University. A continuation grant of $900,000 was provided in 1996. On-going research at the National Research Center on Gifted and Talented Education includes (1) evaluation of current methods of identifying gifted students; (2) examination of classroom practices and gifted and talented programs to determine their effectiveness in challenging students; (3) study of new ways to measure the talents of students from historically underrepresented groups; and (4) evaluation of alternative ways of preparing teachers of gifted and talented students.

C. Program Performance—Indicators of Impact and Effectiveness

The program has established three objectives:

1. Develop promising practices and approaches that have potential to improve teaching and learning for gifted and talented students who are economically disadvantaged, limited English proficiency, or have disabilities.

2. Evaluate the results of funded activities to determine the effectiveness in improving teaching and learning for gifted and talented students who are economically disadvantaged, have limited English proficiency, or have disabilities.

3. Disseminate information on effective practices that hold promise for improving teaching and learning.

Performance indicators are under development.

IV. Planned Studies

1. The Expert Panel on Promising and Exemplary Practices in the education of gifted and talented students will begin work on a study in 1998. This panel is one of several authorized in OERI's reauthorizing legislation. In accordance with this legislation, expert panels in various content areas will be formed in 1997 for the purpose of identifying promising and exemplary practices in their respective areas.

2. The National Research Center on Gifted and Talented Education is conducting an internal evaluation of its activities. Findings will be reported in 1999.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations:	Pat O'Connell Ross, (202) 219-2169
Program Studies:	Collette Roney, (202) 401-5245

Fund for the Improvement of Education
(CFDA No. 84.215)

I. Legislation

Title X, Part A of the Elementary and Secondary Education Act of 1965, as amended by the Improving America's Schools Act of 1994 (20 U.S.C. 8001) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1995	$36,750,000
1996	37,611,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to support nationally significant programs and projects to improve the quality of education, assist all students to meet challenging state content standards and student performance standards, and contribute to achievement of the National Education Goals through grants to, or contracts with, state and local education agencies (SEAs, LEAs), institutions of higher education, and other public and private agencies, organizations, and institutions. Activities funded under this program provide professional development, curriculum development, assessment development, and demonstration programs related to the improvement of elementary and secondary education.

B. Strategies to Achieve the Goals

Services Supported

In FYs 1995 and 1996, the Fund for the Improvement of Education (FIE) continued activities initiated under previous legislative authorities for the Fund for the Innovation in Education and the Fund for the Improvement and Reform of Schools and Teaching. Activities funded in these years were for the development of state content standards and curriculum frameworks, standards-based professional development, comprehensive school health programs, computer-based instruction programs, teacher networking programs, school innovation programs, and family-school partnerships. The Christa McAuliffe Fellowship Program and programs originally funded through Goals 2000 to develop standards-based assessments also were continued through FIE. Among the specific activities receiving continuation funding from FIE were the following:

- Goals 2000 Teacher Forum -- to enlist teachers as partners in school reform;

- State Content Standards Project -- to support the development of state content standards in English, history, geography, civics, and foreign languages;
- Teacher Networking Projects -- to support on-line networks linking teachers with curriculum and instruction specialists;
- Blue Ribbon Schools -- to recognize outstanding schools;
- Assessment Development Grants -- to support nine projects for state assessment activities related to state content standards; and
- Christa McAuliffe Fellowship Program -- to provide annual fellowships to support the professional development of outstanding public and private elementary and secondary school teachers.

During FYs 1995 and 1996, new programs were initiated in the following areas:

- Partnerships in Character Education. Eight pilot projects were funded as partnerships between SEAs and LEAs to support locally developed classroom and professional development activities in character education and to support the development of state clearinghouses on character education.
- Elementary School Counseling Partnerships and Middle School–Workplace–Community Partnerships. Ten school-based improvement projects were funded to address the priorities in the statute.
- Elementary School Mathematics and Science Equipment Program. Thirteen one-year projects were funded in 1996 to support the purchase of materials for hands-on instruction in mathematics and science in school districts located in Empowerment Zones and Enterprise Communities.

C. Program Performance—Indicators of Impact and Effectiveness

Performance indicators are under development.

IV. Planned Studies

Review by program office of reports to be submitted by Partnerships in Character Education grantees.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: Lois Weinberg, (202) 219-2147

Program Studies: Collette Roney, (202) 401-5245

Civic Education Program
(CFDA No. 84.929F)[1]

I. Legislation

Part F of Title X of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8141) (expires September 30, 1999). The statute authorizes a noncompetitive grant to the nonprofit Center for Civic Education in Calabasas, California.

II. Funding History

Fiscal Year	Appropriation
1992	$4,463,000
1993	4,346,000
1994	4,463,000
1995	4,463,000
1996	4,000,000

III. Analysis of Program Performance

A. Goals and Objectives

The purpose of this program is to support instruction on the history and principles of democracy in the United States, with a particular focus on the Constitution and the Bill of Rights.

B. Strategies to Achieve the Goals

Services Supported

The program provides teacher training and curriculum materials for upper elementary, middle, and high school students. The curriculum, titled *We the People . . . The Citizen and the Constitution*, seeks to promote civic competence and responsibility among students, including support for the constitutional rights and civil liberties of dissenting individuals and groups. For upper elementary and secondary students, the program also provides simulated congressional hearings that give the students the opportunity to show their understanding of the basic principles of the Constitution and the Bill of Rights. For secondary students, these hearings culminate in a national competition and celebration in Washington, D.C., where the winning class from each state and their teachers participate and visit members of Congress.

C. Program Performance—Indicators of Impact and Effectiveness

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[1] Beginning in FY97, the CFDA Number for this program will be changed to 84.929.

In 1996, 2.5 million students participated in the program. Since its founding in 1987, more than 20 million students and 70,000 teachers have participated (V.1).

A 1994 study of program participants by Richard Brody of Stanford University measured political tolerance, that is, respect for the civil liberties and political rights of all people in a society, including those whose ideas are distasteful or abhorrent to the majority. Brody surveyed 1,351 high school students nationwide to compare program participants with students in other civics, government, and history classes; and the survey used items that allowed comparisons with previous surveys of the general adult population. Brody found that not only are high school civics, government, and American history students more politically tolerant than the average American, but that program participants are more tolerant than students following other curricula. The study concludes that the "We the People" program fosters increased tolerance because it promotes greater self-confidence and the perception of fewer limits on students' own political freedom (V.2).

Earlier studies by Educational Testing Service (ETS) concluded that the program achieved its major instructional goal of increasing students' knowledge of the Constitution and Bill of Rights (V.3, V.4).

IV. Planned Studies

None.

V. Sources of Information

1. Program files.
2. R. Brody, Secondary Education and Political Attitudes: Examining the Effects on Political Tolerance of the *We the People* Curriculum (Calabasas, CA: Stanford University Center for Civic Education, 1994).
3. Educational Testing Service, An Evaluation of the Instructional Effects of the National Bicentennial Competition on the Constitution and Bill of Rights. (Pasadena, CA: Author, 1994)
4. Educational Testing Service, An Evaluation of the Instructional Impact of the Elementary and Middle School Curricular Materials Developed for the National Bicentennial Competition on the Constitution and Bill of Rights (Pasadena, CA: Author, 1991).

VI. Contacts for Further Information

Program Operations:	J. Stephen O'Brien, (202) 219-2141
Program Studies:	Joanne Wiggins, (202) 401-1958

International Education Exchange Program
(CFDA No. 84.304A)

I. Legislation

Goals 2000 Educate America Act, Title VI–International Education Program, P.L. 103–227, Section 601 (20 U.S.C. 5951) (The program is authorized through FY 1998.)

II. Funding History

Fiscal Year	Appropriation*
1995	$3,000,000
1996	5,000,000

*The International Education Program received its first appropriation of funds in FY 1995. The National Council of Economic Education (NCEE) in New York received one grant to focus on international economic education and the Center for Civic Education (CCE) in California received a grant to focus on civics education. In FY 1996 both projects completed their first year of operation and received funding for one additional year under the terms of the respective grant awards.

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the International Education Exchange Program are (1) to carry out a program, in consultation with the U.S. Information Agency and with the foreign policy guidance of the Secretary of State, that will provide for the study of international civics and economic education programs and delivery systems, and an international education exchange program in eligible[1] countries.

The program's objectives are (1) to study, evaluate, and analyze education systems in other nations; (2) to make available to educators from eligible countries exemplary curriculum and teacher training programs in civics and government education and economic education developed in the United States; (3) to help eligible countries adapt and implement such programs or conduct joint research concerning such programs; (4) to create and implement educational programs for the U.S. students which draw on the experiences of emerging constitutional democracies; and (5) to provide a means for the exchange of ideas and experiences in civics and government education and economic education among political, educational, and private sector leaders of participating eligible countries. The program also seeks to provide support for research and evaluation to determine the impact of educational programs on students' development of the knowledge, skills, and traits of character essential for the preservation and improvement of constitutional democracy and an efficient market economy.

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[1] For the program, this term "eligible countries" means eastern European countries, central European countries, Lithuania, Latvia, Estonia, Georgia, the Commonwealth of Independent States, and any other former republic of the Soviet Union whose political independence is recognized in the United States.

B. Strategies to Achieve the Goals

Services Supported

The National Council on Economic Education (NCEE) developed a program that provides economic education through training seminars for teachers and trainers, translating and adapting U.S. materials for classrooms in targeted countries, and conducting conferences, meetings, and study tours. In addition, NCEE conducted surveys of trainers and teachers to determine the impact of the program. NCEE has approximately 270 affiliate university sites in the United States and at least 40 major international affiliates.

The Center for Civic Education (CCE) developed a program called "Civitas: An International Civic Education Exchange," which provides training seminars in civics education for teachers and educators, conducts tours of school systems, institutions of higher learning, and nonprofit organizations with exemplary programs in civics and government education in the U.S.; translates and adapts materials regarding teacher training programs; conducts joint research projects in the areas of curricular development and teacher training; hosting home stays; and conducts world conferences on the creation and strengthening of democracy and building networks. In addition, CCE conducted research and evaluation to determine the effects of the civics education program. CCE leads a consortium of organizations in civics education in the U.S. and in the participating nations.

C. Program Performance—Indicators of Impact and Effectiveness

Both NCEE and CCE were required to provide a performance report at the end of their first year. One consistent finding across both programs was that the participants reported a high degree of satisfaction with the services of the program. The teachers and educators participating in the programs indicated that they were successfully implementing civics and economic curricula in their classrooms.

The economic education project served approximately 17,300 students, teachers, and educators in the U.S. and in the former Soviet Union. The civics education project served approximately 4,180 students, teachers, educators, teacher-training specialists, and scholars in relevant disciplines in the U.S. and in the former Soviet Union. However, as the civics program is implemented in more schools, the targeted population is expected to increase.

IV. Planned Studies

Both NCEE and CCE will conduct a self-evaluation of the program impact.

V. Sources of Information

1. Program files.
2. NCEE and CCE performance reports.

VI. Contacts for Further Information

Program Operations: Rita Foy (Civics), (202) 219-2027
Ram Singh (Economics), (202) 219-2025

Program Studies: Martha Chavez, (202) 401-1958

National Assessment of Educational Progress
(CFDA No. 84.999F, 84.999G)

I. Legislation

Section 411 of the National Education Statistics Act of 1994, 20 U.S.C 9010 authorizes national and state assessments under the National Assessment of Educational Progress (NAEP) in 1996, 1997, and 1998 (expires in 1998).

Section 412, of the act of 1994, 20 U.S.C 9011 authorizes the National Assessment Governing Board (NAGB), which provides policy guidance for the execution of NAEP.

In 1994, the Advisory Council on Education Statistics (ACES) was established by Section 407 of the act to review general policy of the National Center for Education Statistics (NCES) and advise the commissioner and the NAGB on technical and statistical matters related to the NAEP.

II. Funding History

Fiscal Year	Appropriation
1991	$19,211,000
1992	29,900,000
1993	29,262,000
1994	29,262,000
1995	32,757,000
1996	39,623,000

III. Analysis of Program Performance

A. Goals and Objectives

NAEP, which measures and reports the status and trends in student learning over time, subject by subject, is the only nationally representative assessment of what American students know and can do. Nationally representative assessment data must be collected and reported at least once every two years in grades 4, 8, and 12 in the nation's public and private schools. Assessments of state-representative samples of students are also authorized and regularly conducted in states wishing to participate. States bear the costs of collecting data for state-level assessments. Ongoing evaluation of the NAEP is required.

Beginning in 1996, NAEP is to be conducted every year. Subjects have included reading, writing, civics, U.S. history, mathematics, science, and world geography. NAEP has been designed to produce a representative sample of students at the national level. In each of the 1990, 1994, and 1996 assessments, data were collected from a national probability sample of over 45,000 students per age/grade or a total of about 146,000 students in nearly 2,100 schools. In addition, approximately 110,000 students per grade, or 2,500 students per state are assessed in each state assessment.

B. Strategies to Achieve the Goals

Services Supported

National NAEP

NAEP does not report individual scores. Instead, through matrix sampling, different portions of the total pool of cognitive questions are put into booklets and administered to different but equivalent samples of students. Blocks of background questions are the same for every student in the same grade for the same subject, but the blocks of cognitive questions vary according to the booklet version.

Main assessments. NAEP assessments measure students' achievement in reading, mathematics, science, writing, U.S. history, civics, geography, and other subjects. These assessments are administered in grades 4, 8, and 12 and are designed to follow the curriculum frameworks developed by NAGB.

Long-term trend. Certain assessments must remain stable over time so that changes in student achievement can be examined longitudinally. NAEP accomplishes this by administering identical instruments from one assessment cycle to the next. Beginning in 1999, this administration will be conducted every four years.

Background questionnaires. NAEP collects data from students, their teachers, and their principals that relate to students' school backgrounds and educational activities. This information is related to students' performance on the cognitive portions of the assessments to provide the context for a better understanding of student achievement.

State NAEP

Until 1990, NAEP was a national assessment only. In 1988, Congress authorized a voluntary trial state assessment. In 1994, Congress amended the statute to eliminate the "trial" reference and established that these tests be conducted on a developmental basis. In 1996, 47 states participated.

NAEP Redesign

NAGB believes that the redesign of NAEP (beginning in the year 2000) should accomplish the following objectives:

- To measure national and state progress toward the third National Education Goal and provide timely, fair, and accurate data about student achievement at the national level, among the states, and in comparison with other nations.
- To develop, through a national consensus, sound assessments to measure what students know and can do as well as what students should know and be able to do.
- To help states and others link their assessments with the NAEP and use national assessment data to improve educational performance.

C. Program Performance—Indicators of Impact and Effectiveness

Indicators are under development.

IV. Planned Studies

NAEP Evaluation

By law, NAEP is required to provide for the continuing review of the national and state assessments. Starting in 1989, a contract with the Center on Evaluation, Standards, and Student Testing (CRESST), in conjunction with the University of Colorado at Boulder and the Rand Corporation, established the Technical Review Panel to produce a series of studies on the validity of NAEP. In 1995, the NAEP Validation Studies (NVS) Panel was formed to work on validation studies as well. A third panel was formed to independently evaluate state NAEP via a grant to the National Academy of Education. Reports from these panels have been completed. The final report of the National Academy of Education, the "Capstone Report," was released in April 1997.

In 1996 the National Academy of Sciences (NAS) was awarded a contract to continue evaluation. Thus far, NAS has produced a letter report to the Secretary in response to the proposed NAEP redesign, recommending that: the National Assessment Governing Board and the U.S. Department of Education consider the NAGB redesign proposal as a range of possible interim measures to alleviate some of the immediate pressures on NAEP while undertaking a more fundamental rethinking of NAEP's goals and character (V.1)

In 1996, Peat Marwick, through a contract with NCES and the Office of the Chief Financial Officer, conducted a review of the following areas of NAEP:

- Management of multiple cooperative agreements,
- Cost allocation and cost tracking,
- Decision making, and
- Technical approach.

The study *A Review of the National Assessment of Educational Progress: Management and Methodological Practices* (V.2) concluded with many recommendations for each of the areas just listed including the following:

- Strategic planning processes should be established.
- NCES should structure cooperative agreements to give grantees incentives to improve efficiency and control costs, and strategic planning should produce a product that clearly guides grantees to focus efforts.
- NAEP's use of consensus process slows the speed of decision making, and status reporting has not been timely. Operations management plans and schedules should be established, and

grantees should be required to regularly report status of project against plan.

- NCES and NAGB should clarify plans, priorities, deliverables, and schedules for serving the highest–priority customers identified in the strategic planning process.

Many of the suggested improvements are now being implemented.

V. Sources of Information

1. Evaluation of "Redesigning the National Assessment of Educational Progress," National Research Council (September 1996).

2. A Review of the National Assessment of Educational Progress: Management and Methodological Procedures, KPMG Peat Marwick LLP and Mathtech Inc. (June 1996).

3. Program files.

VI. Contacts for Further Information

Program Operations:	Gary W. Phillips, (202) 219-1761
Program Studies:	Elois Scott, (202) 401-1958

Blue Ribbon Schools Program
(No CFDA Number)

I. Legislation

Improving America's Schools Act (IASA), Fund for the Improvement of Education, Title X, Part A (20 U.S.C. 8001) (expires September 30, 1999).

II. Funding History

Fiscal Year	Appropriation
1989	$ 889,000
1990	494,000
1991	885,000
1992	864,159
1993	899,000
1994	879,000
1995	1,019,000*
1996	645,000*

*These funds were appropriated for the Fund for Innovation in Education.

III. Analysis of Program Performance

A. Goals and Objectives

The purposes of the Blue Ribbon Schools Program are to identify and recognize outstanding public and private schools across the nation, make research-based effectiveness criteria available to all schools so they can assess themselves and plan improvements, and encourage schools to share information about best practices.

B. Strategies to Achieve the Goals

Schools are competitively selected from among those nominated by state departments of education, the Bureau of Indian Affairs, the Department of Defense Dependents Schools, and the Council for American Private Education. Elementary and secondary schools are selected in alternate years. In order to apply, schools must conduct self-assessments using research-based criteria. Nominated schools are reviewed by a panel of experts, which selects schools for on-site examination by other nonfederal experts. The review panel considers both the site visit reports and the school applications and makes recommendations to the U.S. Secretary of Education.

In FY 1994. 276 elementary schools were selected as Blue Ribbon Schools from among the 529 nominated. Of those, 3 received special honors in mathematics, and 6 received special honors in science.

In FY 1996, 266 secondary schools were selected as Blue Ribbon Schools from among the 492 nominated. Of those, 3 received special honors for outstanding parent involvement programs, and 29 received special honors for outstanding technology programs.

IV. Planned Studies

The Department is currently conducting an evaluation to assess the impact of the Blue Ribbon Schools Program, assess the administrative processes used by the program, develop performance indicators that can be used by the program on an ongoing basis, and develop a plan to disseminate information on best practices. Findings of the evaluation will be available in winter 1998.

V. Sources of Information

Program files.

VI. Contacts for Further Information

Program Operations: Stephen O'Brien, (202) 219-2141

Program Studies: Barbara Coates, (202) 401-1958

Appendix

Evaluation Contracts Active in OUS During Fiscal Years 1995-1996

ACTIVE EVALUATION CONTRACTS

During Fiscal Years 1995 and 1996

FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1996	$25,000	**Analysis of Title I Services for Neglected or Delinquent Children** This purchase order supported preparation of a concept paper on state and local juvenile correctional facilities that operate Title I - Part D Programs, which provides services to children and youth who are neglected or delinquent	National Council on Crime and Delinquency 3J476A2012	8/30/96 1/31/97	Chabran/Bogart
1994 1995	$267,158 $22,080	**GEPA 406(a) Report on Distribution of State-administered Grants** This task order supports annual data collection and reporting on State sub-allocations of Federal education grants.	Westat EA 94 0520 01	9/30/94 10/31/96	Chabran/Stullich
1994 1995 1996	$149,082 $372,832 $379,138	**Graphics and Analytic Support** This task order responds to requests for graphic displays of information and analyses of information related to federal education program and reform initiatives. Specifically, the contractor is to provide assistance in the graphic presentation of information and the conduct of analyses on secondary data bases. This task order also provides assistance to states in developing performance indicators	Westat EA 94 0520 01	8/30/94 9/30/97	Chabran
1995 1996	$24,996 $99,912	**GEPA 424 Biennial Data Collection** This task order supports biennial data collection and reporting on State suballocations of Federal education grants.	Westat EA 94 0520 01	6/15/95 1/23/97	Chabran/Stullich
1996	$39,940	**Hispanic Dropout Project Support** This task will provide assistance in identifying existing studies and research, and conducting data analyses that address issues relating to the high Hispanic dropout rate.	Westat EA 94 0520 01	9/17/96 12/30/97	Chabran/Rodamar
1996	$99,954	**Title I Within-District Targeting Study** This task order is supporting a study examining changes in school-level targeting both for a nationally representative sample of districts and in greater depth for a smaller sample of districts.	Westat EA 94 0520 01	5/31/96 10/30/97	Chabran/Stullich
1995	$114,913	**Eisenhower Professional Development State Grant Performance Indicators** This task order was for two main deliverables. The first involved the analysis of the data from the 1993-94 Eisenhower Program Annual Performance Reports and the production of a report that summarizes those data. The second was for a report on recommendations for a performance indicator system for professional development programs with a special emphasis on Eisenhower-funded activities	Westat EA 94 0520 01	5/30/95 6/14/96	Chabran/Eisner
1996	$79,918	**Title I Performance Indicator Development and Support and 50-State Assessment Review** This task supports pilot efforts by states in collecting and analyzing performance indicators. This effort should improve models and encourage efforts for improving the quality, scope, utilization and analysis of performance indicators across states and local districts.	Westat EA 94 0520 01	9/26/96 9/25/97	Chabran/Bogart
1995	$70,000	**Migrant Student Records Transfer Report** This task was to design, plan, conduct, and report a Study of Student Record Transfer and of Migrant Students in Schoolwide Programs which was mandated by Congress	Westat EA 94 0520 01	9/18/95 2/28/97	Chabran/Rodamar

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$40,000	**Title I Formula Allocations Program** This task order supported development of a user-friendly computer program that allocates Title I funds to counties and permits simulations of the effects of alternative formula provisions on the distribution of funds among counties and states	Westat EA 94 0520 01	9/14/95 6/30/96	Chabran/Stullich
1995	$314,063	**Tracking Educational Reform Efforts in the School** This study will design the Congressionally mandated study to examine Title I reform efforts	Westat EA 94 0520 01	10/3/95 9/30/97	Chabran/Scott
1996	$222,995	**Evaluation of Migrant Student Participation in Title I Schoolwide Programs** This Congressionally mandated study evaluates the participation of migrant students in Title I schoolwide projects	Westat EA 94 0520 01	9/16/96 12/31/97	Chabran/Rodamar
1996	$79,948	**Analysis of Data from Eisenhower Program State Performance Reports** This task is to analyze data on the Eisenhower Professional Development Program from the Annual State Performance Reports for 1994-95 and 1995-96 and assist with State performance indicators	Westat EA 94 0520 01	7/31/96 10/3/97	Chabran/Eisner
1994	$249,648	**Evaluation of the Law-related Education Program** This task was to conduct a congressionally mandated study of this program	Westat EA 94 0520 01	9/30/94 9/30/95	Chabran/Wiggins
1995	$60,000	**Update of Booklet on Services to Homeless Children** This Task Order will provide ED with an updated version of the booklet, "Serving Homeless Children: The Responsibilities of Educators." The updated booklet will reflect the changes in the authorizing statute following the reauthorization of 1994, and the major findings of the 1995 national evaluation of ED's program for homeless children and youth	Policy Studies Associates EA 94 0530 01	9/15/95 9/15/97	Coates/Wiggins
1994	$74,470	**Support for the National Assessment of Title I** This task provides technical and analytic support to the Department and the Congressionally-mandated independent review panel in conducting the National Assessment of Title I	Policy Studies Associates EA 94 0530 01	9/30/94 9/30/95	Coates/Bogart
1994	$50,000	**Ideabook on School-linked Health Care**	Policy Studies Associates EA 94 0530 01	9/30/94 9/30/95	Coates/Wiggins
1995	$124,582	**Evaluation of LEA Plans for Needs of Indian Students** Assessed quality and feasibility of selected local comprehensive plans for meeting the educational needs of Indian children and adults and of the Indian education components of selected Goals 2000 plans. In addition, the evaluation provided guidance for improved plans	Policy Studies Associates EA 94 0530 01	9/15/95 3/15/97	Coates/Chavez
1995	$335,017	**Analysis Support for Systemic Reform, the National Education Goals, and the Improving America's Schools Act (IASA)** The purpose of this task was to respond to requests for data, information, and policy analysis related to the implementation and achievement of the National Education Goals, systemic reform, and the implementation of ESEA	Policy Studies Associates EA 94 0530 01	8/15/95 9/30/96	Coates

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$449,885	**Evaluating State's Planning and Implementation Efforts Regarding the Goals 2000: Educate America Act and the ESEA** This task order supported a survey of State program administrators to provide information on early State Planning and implementation of Goals 2000 and ESEA and the extent to which the new legislative framework is incorporated into state reform activities	Policy Studies Associates EA 94 0530 01	7/1/95 8/31/96	Coates/Bogart
1995	$199,932	**Performance Indicator Development for ESED** Funds supported development of performance indicators for reauthorized elementary and secondary programs including revising existing indicators systems in line with programmatic changes and designing new systems for programs where none exist	Policy Studies Associates EA 94 0530 01	11/1/94 11/1/95	Coates
1996	$349,986	**Local Implementation of Federal Programs** This task supports a survey of local districts regarding the implementation of Title I and other federal elementary/secondary programs	Policy Studies Associates EA 94 0530 01	8/21/96 8/21/97	Coates/Bogart
1996	$58,558	**Performance Indicators for Indian Education Programs** The purpose of this activity was to assist ED in the development of a core set of performance indicators to use in program planning, management, monitoring, and evaluation of Indian Education programs. The performance indicator system reflects a review and analysis of Indian Education program materials, the reauthorized ESEA, including Title IX, and feedback from ED staff, a select group of Title IX Directors, American Indian educators, and other representatives in the Indian education community.	Policy Studies Associates EA 94 0530 01	3/11/96 8/1/96	Coates/Chabran
1996	$100,000	**Analyses, Reports, and Graphics Production in Reading Research and Evaluation** The purpose of this task order is to provide support for analyses of information and the development of reports and graphic presentations relating to the Secretary's reading and writing initiative. -- READ*WRITE*NOW!	Policy Studies Associates EA 94 0530 01	8/6/96 8/6/97	Coates/Hoffman
1996	$465,241	**Analytic Support for the National Education Goals and the Improving America's Schools Act** The purpose of this task order is to respond to requests for data, information, and policy analysis related to the implementation and achievement of systemic reform as promoted in the Improving America's Schools Act (IASA), the reauthorization of IDEA, and related legislation and initiatives. This task order shall enable OUS, PES, ESED and other ED program offices to provide analytical and policy analysis support for the Administration's and ED's implementation of education reform initiatives. The contractor shall provide assistance in the identification and analysis of issues, practices and approaches that are pertinent to education reform.	Policy Studies Associates EA 94 0530 01	9/27/96 9/27/97	Coates
1995	$254,227	**Study of Federal Efforts to Assist State Reform** This task order evaluated federal assistance to states and districts, focusing on the role and effectiveness of the Department's communications, technical assistance, guidance, use of waivers, and quality monitoring	Policy Studies Associates EA 94 0530 01	9/15/95 9/30/96	Coates/Bogart
1996	$154,863	**Barriers to and Successes of Title I Parent Involvement** The study reported on the common barriers to effective parent involvement in Title I schools, successful local policies and programs which have overcome these barriers, and improved parent involvement and the performance of participating children	Policy Studies Associates EA 94 0530 01	4/8/96 4/8/97	Coates/Moles

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1996	$124,988	**Evaluation of Parent-school Compacts** This study will describe the extent to which school-parent compacts (mandated in the 1994 reauthorization of the Title I program of the Elementary and Secondary Education Act) promote shared school and parental understanding and commitment to improving children's learning.	Policy Studies Associates EA 94 0530 01	9/19/96 9/19/97	Coates/Hardcastle
1996	$185,400	**Title I Services to non-Public School Students** A nationally representative sample of school districts will be surveyed to examine the impact of changes in Title I allocation procedures on participation of private school students. The survey will examine 1995-96 as the transition year during which districts must implement new procedures for determining eligibility for funds. Basing allocations on the number of low-income students, not on the number of educationally disadvantaged students, is expected to have an impact on private school student participation in Title I because private schools are less likely to participate in the federal free or reduced-price lunch program and may lack other means for assessing the income of students.	Policy Studies Associates EA 94 0530 01	4/15/96 12/15/97	Coates
1996	$71,846	**Performance Goals, Indicators, Data Sources, Data Collection Instruments for the Eisenhower Program** The purpose of the Task Order is to help ED develop performance indicator systems for the Eisenhower Federal Activities Program and the Eisenhower Regional Consortia Program, to develop and pilot test some data collection instruments for the indicators, and to help prepare ED staff and Consortia directors to implement and use the performance indicator system.	Policy Studies Associates EA 94 0530 01	8/9/96 8/9/97	Coates/Eisner
1996	$249,505	**Follow-up Study to the 1995 National Evaluation of the Education for Homeless Children and Youth Programs** This study will examine how the 1994 reauthorization of the program has affected services for homeless children and youth, and whether improvements in services have been made by states and districts since the 1995 evaluation. The study will update the program's performance indicators.	Policy Studies Associates EA 94 0530 01	9/27/96 6/30/99	Coates/Wiggins
1996	$119,959	**Case Studies of Even Start Infants and Toddlers Program** This study is examining Even Start Family Literacy projects to identify those that implement promising strategies for parents who participate in programs with their infants and/or toddlers. The study is focusing on practices to encourage children's cognitive and motor development, age-appropriate behavior and responses, and how projects are preparing parents for certain milestones in their children's lives. It is also examining healthy parent/child interactions in a variety of circumstances and situations	Policy Studies Associates EA 94 0530 01	9/20/96 8/8/97	Coates/Rimdzius
1996	$81,922	**Observational Study of Even Start Programs** The purpose of this task is to design a three-year observational study of the Even Start family literacy program.	Policy Studies Associates EA 94 0530 01	9/30/96 4/28/97	Coates/Rimdzius
1996	$23,152	**Even Start Migrant Technical Assistance Ideabook** The purpose of this task is to develop a technical assistance idea book for practitioners who plan to develop local Even Start projects serving mobile and migrant populations	Policy Studies Associates EA 94 0530 01	3/29/96 9/25/96	Coates/Rimdzius
1996	$28,978	**Migrant Technical Assistance Seminar** This task order provided planning assistance to the Office of Migrant Education and the Even Start program to plan and implement the 1995-96 Migrant Technical Assistance Seminar.	Policy Studies Associates EA 94 0530 01	9/16/96 12/9/96	Coates/Rimdzius

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$32,000	**Even Start Migrant Program Idea Book** The purpose of this task order is to develop a technical assistance idea book for State and local practitioners that presents strategies for developing, managing, and improving Even Start family literacy programs serving mobile and migrant populations	Policy Studies Associates EA 94 0530 01	8/1/95 8/1/96	Coates
1995	$329,997	**Technical Support in Reading Research and Evaluation** The purpose of this task order was to provide technical support for public access to materials developed for the Secretary's reading and writing initiative -- READ*WRITE*NOW!	Policy Studies Associates EA 94 0530 01	8/30/95 8/30/96	Coates/Hoffman
1995	$298,305	**A Study of Teacher Time** The purpose of the study was to examine and compare the work schedules of teachers in a small sample of schools in Germany, Japan and the U S in order to gain insight into strategies for giving American teachers more planning time during the official school day.	Policy Studies Associates EA 94 0530 01	7/17/95 9/17/96	Coates/Eisner
1996	$100,000	**Evaluation of the Blue Ribbon Schools Program** This task order is designed to provide OERI with evaluative information on the Blue Ribbon Schools Program to provide insights to guide the continued administration and redesign of this program. While this program has been operating since 1982 and received substantial recognition from state and national leaders, it has never had the benefit of an evaluation of its procedures and impact This evaluation was designed to place a substantial focus on obtaining the multiple perspectives of beneficiaries of the program (such as schools and local communities), partners in program administration (such as staff, contractors, review panelists, site visitors, state liaisons), and top policy makers including the Congress.	Policy Studies Associates EA 94 0530 01	9/27/96 9/27/97	Coates/Quill
1995 1996	$280,000 $235,000	**Helping States Build Alliances for Family Literacy** In April 1994, the U.S. Department of Education (ED) initiated "Building State Alliances for Family Literacy." The objective of the initiative is to document and evaluate the provision of assistance that helps participating states establish statewide family literacy initiatives involving Even Start, Adult Education, Title I, Migrant Education, Head Start State Collaboration grantees, and other state programs that serve families and children. During the first two years, 10 states participated in the initiative through site visits, feedback reports, and telephone conversations with the project team The purpose of this Task Order is to continue documentation and evaluation of this highly successful initiative and to expand by four the number of states that participate in the ongoing model building and documentation effort.	Policy Studies Associates EA 94 0530 01	4/24/95 9/27/97	Coates/Rimdzius
1995	$50,000	**Analysis of 50-State Survey of School-to-Work Systems** The study analyzed and discussed data mainly from the closed-ended items in a database developed by the Council of Chief State School Officers based on its Survey of State School-to-Work Opportunities Systems of its 57 members Analyses were based on responses from 45 states and the District of Columbia.	Policy Studies Associates EA 94 0530 01	1/30/95 3/30/96	Coates/Furey
1994 1995 1996	$759,857 $568,228 $639,261	**Even Start Information System** The second national evaluation of the Even Start program (1993-1997) is designed to monitor and document the development of the program The goal of the evaluation is to determine the performance and effectiveness of programs, and to identify effective Even Start programs that can be duplicated and used in providing technical assistance to Federal, State, and local programs	Fu Associates EA 94 0680 01	3/9/94 3/9/98	Rimdzius

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1994	$70,147	**Prospects Special Analyses** A variety of special analyses using data collected in the Prospects study were conducted to examine areas such as participation in preschool programs, special education programs, and bilingual programs. Other areas of interest included school and classroom climate, instructional practice and assessment	Fu Associates EA 94 0840 01	7/31/94 10/31/95	Scott
1994	$103,210	**Special Analyses for PROSPECTS** The purpose of this analysis was to examine the variation in school and classroom attributes that are associated with improved student outcomes	The University of Chicago EA 94 0841 01	7/31/94 7/31/95	Scott
1994 1996	$656,001 $554,899	**SDFSCA Model Program Performance Indicator System: Technical Assistance for States** This project provides technical support to ED to develop and implement a model program performance indicator system for Safe and Drug-Free Schools and Communities Act (SDFSCA) programs	Westat EA 94 0990 01	9/30/94 1/31/98	Wiggins
1996	$2,656,000	**Longitudinal Evaluation of School Change and Performance** This 5 year contract will examine the changes in schools that occur as a result of the implementation of IASA and the extent to which Title I supported reforms contribute to improved teaching and learning	Westat EA 96 0080 01	9/27/96 9/27/2001	Scott
1996	$700,000	**Reviews of National and State Assessments of Education Programs** This Congressionally mandated study reviews the National Assessment of Education Progress and developmental state assessments, and evaluates whether student performance levels are reasonable, valid and informative to the public	National Academy of Science EA 96 0190 01	9/3/96 9/30/98	Scott
1996	$485,101	**Study on School Violence and Violence Prevention** This study will examine the incidence of violence and violence prevention efforts in schools nationally, and will examine case studies of violence prevention efforts in schools	Westat EA 96 0550 01	9/27/96 6/29/2001	Wiggins
1994	$103,804	**Development of Chapter I Ideabooks** This task order developed two handbooks for educational practitioners that presented strategies for improving the educational opportunities available to disadvantaged students. The handbooks drew mainly on recent Chapter I-related research, although the approaches were not limited to the Chapter I classroom, some approaches involved, for example, the provision of health-related services or after-school services conducted by a community-based organization. The policies and practices included interventions affecting responsibilities, such as teacher professional development and school management and organization, that are lodged primarily outside the classroom	Policy Studies Associates LC 89 0890 01	3/4/94 3/4/95	Coates
1994	$124,000	**Even Start Technical Assistance Model** The purpose of this task was to assist States in developing their capacity to administer family literacy programs, and to encourage and support increased collaboration in local Even Start Projects	Policy Studies Associates LC 89 0890 01	3/12/94 3/12/95	Coates/Rimdzius

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1990	$1,328,658	**Special Strategies for Educating Disadvantaged Children - Urban** The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract Two contracts were awarded, this one on urban sites. The purpose of these case studies was to provide additional information on appropriate strategies which support success for Chapter 1 children.	The Johns Hopkins University LC 90 0100 01	9/1/90 4/30/97	Scott
1990	$1,346,670	**Special Strategies for Educating Disadvantaged Children - Suburban/Rural** The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract Two contracts were awarded, this one focuses on suburban and rural sites. The purpose of these case studies is to provide additional information on appropriate strategies which support success for Chapter 1 children	The Johns Hopkins University LC 90 0100 02	9/1/90 4/30/97	Scott
1990	$952,643	**Study of Effective Schools Programs : Their Implementation and Success** This evaluation examined effective schools programs and an array of schoolwide reform efforts designed to encourage high performance for all students The study assessed the extent to which Federal Chapter 2 funds and requirements support these programs and also examines state and district support Guidance will be provided to educators on how to implement effective schools programs successfully	SRI International LC 90 0350 01	9/17/90 2/17/95	Loy
1990 1991 1993 1994	$804,715 $2,000 $452,501 $49,993	**Magnet Schools Study** This study is collecting nationally descriptive data on magnet schools funded by ED as well as other magnet programs It expands upon the 1983 Lowry Associates study of magnet schools and investigate the effectiveness of these schools in improving education outcomes, racial balance, and student/teacher attitudes	American Institutes for Research LC 90 0430 01	9/1/90 2/28/98	Stullich/Roney
1990 1991 1992 1993 1994 1995 1996	$250,000 $867,676 $1,000,000 $1,067,880 $517,899 $100,000 $62,000	**Outcomes of DFSCA State and Local Programs** This longitudinal study is examining drug prevention efforts in 19 school districts, including surveys of almost 10,000 students annually for 4 years	Research Triangle Institute LC 90 0700 01	9/30/90 1/31/98	Wiggins
1991 1992 1993 1994 1995	$3,524,200 $5,557,933 $5,285,736 $5,766,803 $5,951,000	**Chapter 1 Technical Assistance Centers** As a result of the 1994 reauthorization of the Elementary and Secondary Education Act, several sets of categorical program technical assistance centers, including the Chapter 1 Technical Assistance Centers were consolidated into new comprehensive regional technical assistance centers The new centers are jointly administered by OESE and OBEMLA and received their first year funding in September 1996, using FY96 funds. The previous center was extended through September 1996, using FY95 and any carryover funds from previous fiscal years	Six contractors, one for each region LC 91 0270 00	6/30/93 9/30/96	Hardcastle

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1991 1992 1993 1994 1995	$4,712,040 $4,999,994 $4,959,945 $5,058,501 $3,894,032	**Chapter 1 Rural Technical Assistance Centers** As a result of the 1994 reauthorization of the Elementary and Secondary Education Act, several sets of categorical program technical assistance centers, including the Chapter 1 Rural Technical Assistance Centers were consolidated into new comprehensive regional technical assistance centers. The new centers are jointly administered by OESE and OBEMLA and received their first year funding in September 1996, using FY96 funds. The previous center was extended through September 1996, using FY95 and any carryover funds from previous fiscal years	Ten contractors, one for each region LC 91 0280 00	7/1/91 9/30/96	Hardcastle
1991 1992 1993 1994 1995	$4,606,488 $6,877,008 $6,788,885 $6,583,000 $1,500,000	**Implementation of the Chapter 1 Longitudinal Study (PROSPECTS)** The purpose of the contract is to respond to the legislative mandate to assess the impact of significant participation in Chapter 1 programs on student and young adult outcomes. The data collection activities began in the 1990-91 school year. In addition to surveying and collecting outcome data on Chapter 1 participants and comparable students in public and private schools, teachers, principals, administrators and parents were also surveyed.	Abt Associates LC 91 0290 01	4/1/91 9/30/97	Scott
1991 1992 1993 1994	$400,000 $530,328 $269,672 $425,000	**Descriptive Data on LEP students from the National Longitudinal Study of Chapter 1** Funds augment the student sample of the Chapter 1 Longitudinal Study in order to over sample an additional 1,000 LEP students each in grades 1 and 3. Data on this augmented sample were collected and analyzed longitudinally over four years	Abt Associates LC 91 0290 01	4/1/91 9/30/97	Scott/Rodamar
1992 1993	$300,000 $180,477	**Evaluation of the DFSCA Regional Centers** This study examined the types and impacts of technical assistance services, including program evaluation, being provided to states, LEAs, and other grantees by the Regional Centers.	Decision Information Resources LC 92 0070 01	9/30/92 11/30/94	Wiggins
1991 1993 1994	$451,000 $102,288 $100,000	**A Descriptive Analysis of Content-English as a Second Language (ESL) Programs** This study described programs and/or practices that integrate language and content teaching in the context of LEP student education	OBEMLA	5/1/91 5/9/95	D'Emilio/Rodamar

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1992 1993 1994	$851,000 $532,769 $806,000	**Special Issues Analysis Center (SIAC)** This project consists of an automated database of the Title VII grants program and provides data summaries to OBEMLA as requested a. Synthesis of ED-Sponsored Research on Bilingual Education This study developed a report which summarizes and integrates the findings of previously funded ED studies of bilingual education in terms of policy relevant concerns in time for reauthorization b. Development of Evaluation Guidance Technical assistance in developing standards for reporting Title VII bilingual program results c. LEP Population Estimates This study analyzed and updated the national estimate of LEP children using 1991 State data and 1990 Census data d. A Descriptive Study of-Asian Pacific American Instructional Practices This study examined program and instructional practices used to educate LEP Asian-Pacific American students.	OBEMLA	2/1/92 5/11/95	D'Emilio/Rodamar
1995 1996	$448,221 $400,000	**The Benchmark Studies** A major goal of this research/evaluation study is to serve as an evaluation of the Comprehensive School Grant Program. The evaluation component of the study will examine to what extent and how does Title VII affect change in schools serving limited English proficient students. The multi-year study will examine changes in instruction for LEP students and in school organization in schools which are receiving Title VII funds under the Comprehensive School Grants. This study will produce information relating to issues of instruction for LEP students and school reform which will be valuable to several audiences, including the Department of Education, the field (i.e., school personnel), and the academic community.	OBEMLA	9/30/95 9/30/2000	D'Emilio/Rodamar
1995 1996	$20,000 $75,000	**Fast Response Survey System** This survey provides baseline data on principals' perceptions of systemic education reform and the extent to which reform activities are being implemented in their schools. The survey focuses on high standards for all students and alignment of curricula, instruction, textbooks, innovative technologies, and student assessment with these high standards. It also addresses parent involvement, information needs, and effective sources of information for principals and teachers	Westat OERI-Westat	7/28/95 7/28/97	NCES/Hardcastle

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1996	$35,000	**Study of Time-use Diaries by School Children and Classroom Teachers** This study reviewed research efforts that had obtained time diaries from teachers about their classroom activities; developed survey forms for elementary school teachers and administrators and time diaries for teachers and children, and pretested survey forms and time diaries and procedures.	U. of Michigan, Institute for Social Research 3J476A2003	2/29/96 5/14/97	Glassman
1996	$25,000	**Case Study of the Design and Implementation of the Oregon Benchmarks Process** The Department of Education jointly supported a case study of the Oregon Benchmarks Process through an interagency agreement with the Department of Health and Human Services. This study reviewed the development and evolution of benchmark goals, and identified and examined the processes used and incentives provided to enable various levels of government to work together to mutually determine and achieve results that matter to people.	3J476A2006	6/15/95 10/15/96	Furey
1996	$20,000	**White House Conference on Character Development for Responsible Citizenship** Contractor will develop a document containing the synthesis of research and findings, policy recommendations, and examples of good practice from panels of experts participating in the White House Conference on Character Development. The document must be written from the Communitarian perspective, emphasizing the role of character development for family involvement in education.	The Communitarian Network 3J476A2008	6/11/96 6/11/97	Herman
1996	$45,000	**Organizational Analysis of the Planning and Evaluation Service** This study reviewed the performance of the Planning and Evaluation Service in an evolving context with respect to its mission, mode of operation, resources and structure, giving special attention to appropriateness of the current evaluation paradigm.	3J476A2009	2/18/96 2/18/97	Glassman
1996	$25,000	**Barriers and Opportunities to Greater Family Involvement in Education** Contractor will develop a document containing the synthesis of research findings and analysis based on a study they will conduct on "Opportunities for and Barriers to Family Involvement in Education." Contractor will conduct national survey based on reinterview of GSS household survey respondents. Results will be released at Vice President's "Family Reunion VI Conference," June, 1997.	National Opinion Research Center (NORC) 3J476A2010	9/20/96 9/20/97	Herman
1996	$30,000	**Better Education is Everybody's Business** Contractor will develop products for a national business-education partnerships conference, including guidelines and templates for case study and brainstorming sessions, conference proceedings, research findings and analysis of survey of its own members, conference registration brochures, schedules, speakers' letters of commitment.	The Conference Board 3J476A2013	9/27/96 9/27/97	Herman
1996	$24,995	**Support for Development of State Performance Indicators** Support for the development and improvement of State Performance Indicators	Council of Chief State School Officers 3J476A2014	9/30/96 3/30/97	Bogart

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1993 1994 1995 1996	$474,458 $504,441 $506,510 $74,975	**Effective Workplace Literacy Programs** Study will identify and validate effective workplace literacy programs funded under Workplace Literacy Partnership Program Study will collect detailed descriptive data and some outcome data from all projects and conduct intensive in-depth studies of selected projects to determine effective practices and approaches	Mathematica EA 93 0240 01	9/30/93 1/30/98	Furey
1993 1994 1995 1996	$300,000 $409,236 $350,000 $290,723	**Evaluation of the Eisenhower Mathematics and Science Education State Curriculum Frameworks Projects and Regional Consortiums Program** The evaluation examines the quality of curriculum frameworks in mathematics and science developed under the grant projects and determines effects on teacher education, teacher certification, and elementary and secondary mathematics and science instruction and assessment in participating states. It also assesses the work of the Eisenhower Regional Consortiums Program	SRI International EA 93 0610 01	9/29/93 12/28/97	Eisner
1993 1994	$217,730 $321,464	**Evaluation of Section 353 State Set- Aside Program for Innovation and Training** This study provided a detailed description of Section 353 program operations, assessed the extent to which States evaluate their programs, examined the impact of projects funded on local adult education programs; and assessed the quality of the products.	RMC EA 93 0640 01	6/30/93 3/30/96	Garcia
1993 1994 1995 1996	$1,072,461 $1,609,000 $1,631,171 $1,283,648	**Study of the Direct Loan Demonstration Program** Study will assess the efficiency and effectiveness of the Direct Loan Demonstration over its five-year authorization, 1994-1998 The study will evaluate policies and procedures at a sample of participating postsecondary institutions and at all vendors contracting with the Department for servicing and collection functions required by the Demonstration.	Macro International EA 93 0850 01	10/1/93 9/30/98	Zwillinger
1993	$98,871	**Evaluation of the Talent Search Program** The study of the Talent Search program involved case studies of seven projects in order to develop performance measures that can be used by all projects The study also included a literature review of the research that has been done on programs that help low-income students to graduate from high school and enroll in postsecondary education.	Decision Information Resources EA 93 1090 01	9/1/93 10/30/94	Eisner
1994 1995	$207,449 $26,965	**APEC Education Forum** To fund the second phase of the U.S sponsored 14-nation comparative study of teacher training and professional development practices in the Asia-Pacific region	Pelavin Research Center EA 94 0770 01	7/29/94 3/27/97	Pendleton/Garcia
1994	$249,520	**Research Design and Data Analysis Support for Federal Ed Initiatives** This work was to assist in the identification and analysis of policy issues and practices, and respond to requests for information, data analysis, research design, and policy analysis related to Goals 2000, Improving American Schools Act, and School-to-Work Opportunities Act	Pelavin Research Center EA 94 0770 01	6/30/94 6/30/95	Pendleton

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1994	$74,871	**Formula Simulations for Chapter I** This task supported simulations of how alternative funds allocation methods would affect the targeting of Chapter 1 funds to high-poverty areas	Pelavin Research Center EA 94 0770 01	5/27/94 5/27/95	Pendleton/Stullich
1995	$149,141	**APEC Teacher Training and Professional Development** Investigated ways teachers' time is structured and the school day is organized in APEC member countries.	Pelavin Research Center EA 94 0770 01	1/31/95 1/31/96	Pendleton/Garcia
1995	$195,000	**Systemic Reform and Lifelong Learning** Provided technical support in implementation of major Federal initiatives under Goals 2000, the School-to-work Opportunities Act, the Safe and Drug Free Schools Act, and Even Start.	Pelavin Research Center EA 94 0770 01	10/31/94 3/31/97	Pendleton
1995	$149,834	**Analysis of NELS-88 3rd Follow-Up Data: Factors that Affect College Enrollment** This study analyzes the factors which determine whether eighth grade students enroll in postsecondary education within two years of high school graduation	MathTech EA 94 0780 01	9/8/95 12/5/97	Forman/Lauland
1996	$269,061	**Preliminary Assessment of Upward Bound Math/Science Initiative** Funds were used to provide a description of the recently created Upward Bound Math/Science initiative and the feasibility of a future evaluation	MathTech EA 94 0780 01	6/13/96 3/31/97	Forman/Goodwin
1996	$199,226	**Performance Standards and Measures in Postsecondary Education Gatekeeping Activities** Study will evaluate how postsecondary accrediting associations define, collect, and report student graduation and placement rates and how these are used in assessing the quality of their member institutions.	MathTech EA 94 0780 01	9/30/96 9/30/97	Forman/Morrissey
1994	$149,994	**Evaluation of Small Discretionary Grant Programs in Postsecondary Education** Study was designed to help develop a methodology for evaluating small discretionary grant programs.	MathTech EA 94 0780 01	9/7/94 12/8/97	Forman/Goldenberg
1994	$200,000	**Study of Endowments at Developing Institutions** This study examined the reasons Developing Institutions invest most of their federally supported Endowment funds in cash equivalents and sought ways to encourage Developing Institutions to invest in higher yielding stocks and bonds	MathTech EA 94 0780 01	9/23/94 12/15/96	Forman/Maxwell
1994	$300,000	**Performance Standards and Measures in Student Aid Programs** Supported ongoing efforts to develop performance standards for ED's major student aid programs.	MathTech EA 94 0780 01	7/15/94 7/31/96	Forman/Goldenberg
1995	$150,000	**Performance Standards and Measures in Postsecondary Education Programs** Funds will be used to continue to develop and measure performance measures for postsecondary education programs	MathTech EA 94 0780 01	3/1/95 12/8/97	Forman/Goldenberg

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ACTIVE EVALUATION CONTRACTS
During Fiscal Years 1995 and 1996

FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$249,748	**Development of Indicators of Institutional Quality--SPREs** Funds were used to analyze the effects of postsecondary vocational training on earnings by combining data from schools, unemployment insurance records, and ED files	MathTech EA 94 0780 01	12/1/94 12/5/96	Forman/Morrissey
1995	$155,261	**Baseline Assessment of School-to-Work Initiatives** In states receiving School-to-Work Implementation grants in FY 94, this study described very early efforts of states to set goals, establish governance structures, and provide technical assistance to local communities	MathTech EA 94 0780 01	9/20/94 9/20/95	Forman/Goodwin
1994	$700,000	**Study of Civilian Aviation Training Programs** Concerns addressed include: (1) avenues for civilians to enter aviation industry, (2) characteristics of current training and match with skilled requirements in workplace, (3) impediments and incentives for minorities and women to enter aviation industry	National Academy of Sciences EA 94 0900 01	8/30/94 2/27/97	Eisner
1995 1996	$550,000 $887,909	**Evaluation of Effective Adult Basic Education Programs and Practices: Pilot and National Study** This study is identifying and validating effective adult basic education programs and strategies for students with low literacy skills The study is being conducted in three phases - 1) literature review and in-depth case studies of promising programs and instructional practices; 2) strategy assessment through pilot sites using two or three approaches, and 3) selection of sites for evaluation and validation of their approaches	Abt Associates, with Fu Associates as sub EA 95 0030 01	10/29/95 10/1/2000	Rhett
1995 1996	$3,481,097 $2,188,297	**Evaluation of States School-to-Work Systems** Study will assess the impact of the STW initiative on students, secondary schools, postsecondary institutions, and employers It will track progress of states and communities in implementing key components of the school-to-work system	Mathematica EA 95 0100 01	3/31/95 9/18/2000	Goodwin
1995 1996	$605,142 $638,593	**Identifying Effective Adult ESL Programs** Will design and pilot test a model for evaluating the effectiveness of local adult education programs that provide services to LEP adults with low literacy levels	AIR/Pelavin, Aguirre sub EA 95 0120 01	9/14/95 9/30/2000	Garcia/Oppenheimer
1995 1996	$586,367 $8,739	**Evaluation of Correctional Education** To evaluate State adult correction educational programs funded through set-asides to Adult Education basic grants to States and Perkins Act Will describe participants and services provided Will assess the effectiveness and impact of services Will describe range of ways States administer and evaluate this program	Pelavin Research Center EA 95 0130 01	10/2/95 3/31/98	Abernathy
1995	$249,413	**Support for Improved Cost Estimation Model** Study will impute student aid packages from the NPSAS database onto the NELS and BPS databases. The study will also develop a needs analysis simulator	Westat EA 95 0560 01	9/15/95 5/21/97	Forman/Goldenberg
1995 1996	$45,837 $150,000	**Customer Surveys of Student Aid Programs** This is a general task to support customer satisfaction surveys	Westat EA 95 0560 01	9/30/95 5/2/97	Forman/Goldenberg
1995	$996,267	**Evaluation of Title III Developing Institutions** The mandated study will conduct a descriptive evaluation of Title III activities and program outcomes and develop a performance reporting system to form the basis for an annual performance report	MathTech EA 95 0580 01	9/28/95 9/28/98	Maxwell

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ACTIVE EVALUATION CONTRACTS

During Fiscal Years 1995 and 1996

FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995 1996	$232,052 $685,232	**Follow-Up Evaluation of the Student Support Services Program** Funds will be used to conduct a follow-up survey of a sample of student support services recipients and a control group of nonrecipients to analyze college completion rates, job placement, graduate school admissions six years after college entry	Westat EA 95 0600 01	10/1/95 4/1/99	Fong
1995	$86,971	**Performance Measures under the School-to-Work Transition Program** This study assisted the School-to-Work Program Office in development of performance measures for the program; activities included research reviews, preparation of draft indicators, and analysis of data	MPR EA 95 1180 01	8/17/95 1/31/96	Goodwin
1995	$254,000	**Research, Evaluation, and Technical Assistance to Skills Standards Projects** This project provided technical assistance to OVAE for assisting skill standards projects in preparation, revision, and dissemination of industry skill standards	EA 95 1250 01	9/29/95 3/21/97	Furey/Lee
1996	$50,000	**Strategic Planning and Performance Management of MSPD Programs** This study is assisting the National Institute on Disability and Rehabilitation Research (NIDRR) in development of performance measurement systems required under the Government Performance and Results Act (GPRA), tasks include research review, preparation of draft and revised indicators, and development of reporting methods	Research Triangle Institute EA 96 0930 01	9/13/96 9/30/97	Furey/DePhillips
1990 1993 1994	$10,000 $150,000 $150,000	**Education Achievement and Welfare Reform** An interagency agreement with HHS will allow expansion of the child impacts study, JOBS evaluation, to incorporate data on the educational achievement of children whose parents participate in JOBS. Augmentation of this longitudinal study will permit examination of relationships between parental participation, parental achievement, and child outcomes for highly disadvantaged, Chapter 1 eligible students	HHS	10/1/91 12/31/98	Glenn
1993 1994 1995	$966,656 $368,000 $1,235,865	**JOBS Evaluation** This evaluation of welfare-to-work State operated programs under the JOBS program is being carried out by HHS. The evaluation uses random assignment. The Department provided funds to HHS for achievement testing of participating and control group adults in 3 JOBS sites, to increase the research sample, and to conduct case studies of adult education providers at these sites. The resulting data will permit linking participation in adult education with a variety of other measures and provide information on the impact of literacy training on welfare recipients. Three special studies of adult education for Welfare recipients were conducted: case studies in 4 sites, a synthesis of existing research, and analysis of the GAIN data base from participants in adult education.	Manpower Demonstration Research Corp. (MDRC) HHS transfer	7/1/91 12/1/97	Garcia
1995 1996	$57,000 $208,000	**Program Review for NIDRR** This task gives NIDRR an in-depth understanding of how our Centers work, assists in the development of program performance standards, and provides the Centers with a in-cycle peer review of their activities. Researchers, service providers, consumers with disabilities and other Federal agencies participate in the reviews	Conwal Inc. HN 93 0420 01	10/31/95 9/30/98	DePhillips/Berland

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1994	$154,700	**Assessment of NIDRR Research Training** The Research Training Grant Program and the Fellows Program were reviewed Recommendations were made to the Director on how to improve these two programs including the evaluation criteria	Wilcoff, Inc. HN 94 0240 01	12/17/93 12/17/94	DePhillips/Berland
1992 1993 1994 1995 1996	$386,000 $1,107,978 $1,275,000 $1,437,000 $1,000,000	**National Longitudinal Study of Vocational Rehabilitation Clients** This study will track a nationally representative sample of VR clients from the point of referral to the system. Data will be collected on participant characteristics, services received, and the impact of program outcomes (both economic and non-economic). The study will collect data on application and acceptance rates, program costs, and long-term outcomes. It will develop a comprehensive program data base, and provide information for reauthorization of the Rehabilitation Act. The study was modified to provide additional focus on persons who received Supported Employment (particularly their receipt of Extended Services) and to develop a cost model for the VR Services program.	Research Triangle Institute HR 92 0220 01	9/1/92 8/1/98	Kay
1993 1994	$300,000 $1,275,000	**Development of Standards and Indicators for the Vocational Rehabilitation Services Program** The study assisted in developing program standards and indicators, assist in analyzing input from NOIR on standards and indicators, and test adjustments for economic and client factors.	Research Triangle Institute HR 92 0220 01	4/15/93 5/31/95	Kay
1995 1996	$285,000 $166,000	**An Evaluation of Choice Demonstration Projects** The purposes of this project are to evaluate seven Choice Demonstration projects in terms of their: services provided, clients served, client outcomes obtained, implementation issues addressed, cost effectiveness and effects of increased choice on clients and service providers	InfoUse HR 95 0340 01	9/30/95 7/31/98	Kay
1989 1991 1992 1993 1994	$2,526,000 $1,293,000 $900,000 $1,100,000 $977,000	**Technical Assistance in Data Analyses** This contract provides OSERS with technical support in preparing Annual Reports, conducting analyses, and providing technical assistance to States in developing data collection systems and evaluation capacity. The evaluation component is in postsecondary education.	HS 92 0030 01	9/1/87 2/18/95	Brown/Danielson
1992 1993 1994	$450,000 $473,452 $503,000	**State/Federal Forum for Improvement** This project will identify needs for information for program improvement, identify sources of information, and develop and implement strategies for using information to improve programs.	HS 93 0110 01	9/30/92 9/30/97	Danielson
1989 1990 1991 1992 1993 1994	$485,000 $403,000 $561,000 $479,000 $100,000 $375,000	**Evaluation of EHA Discretionary Programs** This project supported program reviews of EHA discretionary programs, develops model outcome measures, and conducts research reviews of literature and practice in five areas.	HS 93 0120 01	9/1/89 1/26/95	Allan/Danielson

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POSTSECONDARY, ADULT & VOCATIONAL EDUCATION

ACTIVE EVALUATION CONTRACTS

During Fiscal Years 1995 and 1996

FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1996	$185,000	**Interagency Agreement with the National Center for Health Statistics (NCHS)** The purpose of this interagency agreement was to transfer funds to NCHS to provide partial support to the National Health Interview Survey Disability Supplement (NHIS-D) and its correlates. The HNID-D contains data on: a) individuals in the U S population who reported that they received vocational rehabilitation services and b) individuals who reported thay did not receive such services, but who had similar characteristics ED plans to use these data to estimate the need for, and , if possible, impact of, the vocational rehabilitation program.	IAD960805	9/30/96 3/30/98	Kay
1993	$99,991	**Comparisons of Adult Education Tests** This study convened a group of expert consultants in adult education and testing to address the feasibility of linking the most widely-used adult education tests	Pelavin Research Center LC 89 0880 01	4/7/93 1/30/95	Pendleton
1990 1991 1992 1995	$1,302,000 $974,959 $497,729 $257,399	**Effectiveness of Student Support Services Program** Through a longitudinal survey of program participants and disadvantaged students who did not receive student support services, this study assessed the overall effectiveness of Federal aid and the relative effectiveness of alternative strategies on college retention and completion. The study also included case studies and a project director survey.	Westat LC 90 0530 01	9/1/90 12/30/96	Goodwin
1990 1991 1993 1994	$495,000 $1,903,052 $242,000 $58,000	**National Evaluation of Adult Education Programs** In FY 1990, the Department launched a national longitudinal study of adult education programs and participants. Funds have been used to conduct a universe survey of service providers and to collect base-year data on a representative sample of such providers. Clients entering the program over a 1-year period were followed for up to 18 months to obtain comprehensive measures of the intensity and duration of participation. Program outcomes were evaluated through the application of benchmark data on costs and learning gains, and by comparison of the service population to independent, Census-based estimates of the target population. Key findings were presented in four reports and summarized in a separate executive summary	Development Associates LC 90 0650 01	8/14/90 10/31/94	Takai
1991 1992 1993 1994 1996	$1,463,981 $2,000,000 $1,798,680 $1,999,152 $15,000	**Evaluation of Restructuring and Targeted Dropout Prevention Projects** This study is evaluating two models of dropout prevention programs -- (1) restructuring and school reform in a cluster of elementary, junior, and senior high schools with extremely high dropout rates and (2) comprehensive programs targeted on at-risk youth. The evaluation of the cluster restructuring model is based on a comparison of educational outcomes before and after restructuring, and a comparison of educational outcomes for students in restructuring schools and a comparison group of students in non-restructuring schools. The evaluation of the comprehensive targeted model is based on a comparison of educational outcomes for program participants and a comparison group. Eligible participants are randomly assigned to treatment and no-treatment groups.	Mathematica LC 91 0150 01	9/30/91 3/31/97	Pendleton
1992 1993 1994 1995 1996	$950,000 $1,298,677 $1,462,000 $1,010,548 $533,435	**Evaluation of Upward Bound Projects** This study examines the effect that Upward Bound has on college enrollment and persistence of disadvantaged high school students. The study includes a longitudinal survey of participants and a comparison group, a survey of project directors, and case studies of Upward Bound programs	Mathematica LC 92 0010 01	1/1/92 12/30/97	Goodwin

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$296,958	**Follow-up to Even Start In-depth Study** This study is an extension of one component of the initial Even Start evaluation -- the In-Depth Study, a stub-study that assigned families randomly to Even Start or to a control group. Program and comparison children were followed three years after first enrollment in Even Start as 3- and 4-year old participants to learn about their school attendance and academic performance in the primary grades. As a sub-contractor to Research Triangle Institute, Abt Associates is locating former Even Start In-Depth Study participants, maintaining a database of current address and contract information, analyzing the data collected from school records about children's performance, and completing some writing tasks that explore policy questions about the Even Start program, the services offered, and participation data.	Research Triangle Institute LC 92 0080 01	7/30/95 9/30/97	Rimdzius
1994	$149,892	**Performance Measures and Reporting Practices under the School-to-Work Opportunities Act** Preliminary planning to develop program performance indicators as mandated in the School-to-Work Act.	Research Triangle Institute LC 92 0080 01	9/20/94 9/20/95	Furey/Goodwin
1994	$149,994	**Case Studies of Promising Family Literacy Programs** This study identified promising family literacy projects in which adult education activities and services are an important focus. Specifically the study provided comprehensive, descriptive information about family literacy programs and different family literacy models. Also, promising family literacy programs that appeared to help both parents and their children were identified to provide data and recommendations that can be used by the Department and other federal agencies and family and adult literacy providers improve the design, implementation, and evaluation of family literacy programs.	Research Triangle Institute LC 92 0080 01	6/8/94 9/30/96	Furey/Rimdzius
1994 1995 1996	$198,462 $25,000 $50,000	**Evaluation Data Syntheses for Adult Education Reauthorization** This study addresses research to practice issues with the objective to foster use of information obtained through evaluations and other studies, activities include preparation of issue papers, convening of meetings, and development of information in support of ED's reauthorization activities.	Research Triangle Institute LC 92 0080 01	6/14/94 9/30/97	Pendleton
1994	$119,988	**Case Studies of Even Start Transition Services** This descriptive study identified promising transition activities used in Even Start projects. Site visits were conducted to several promising Even Start projects, specifically highlighting their strategies regarding communication and coordination with the primary schools, parent involvement in the transition process, continuity of curriculum and developmental appropriateness, and each project's framework including its overall goals and objectives.	Research Triangle Institute LC 92 0080 01	8/19/94 9/30/95	Rimdzius
1994	$149,574	**Technical Support for Reauthorization of the Perkins Vocational Education Act** This study supported a synthesis paper on research and evaluation findings on vocational education which was used as background information in preparing the Department's bill for reauthorization of the Perkins Act.	Research Triangle Institute LC 92 0080 01	3/3/94 3/3/95	Furey/Pendleton

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1995	$70,000	**Strategic Planning and Performance Measurement for PAVED** This task will examine state and local activities in development and implementation of performance indicators for adult education programs, activities include visits to selected states to investigate development and implementation of reporting requirements and data collection methods	Research Triangle Institute LC 92 0080 01	8/30/95 9/30/97	Furey/Rhett
1995	$77,680	**Evaluation of First-year Choice Demonstrations** This study documented implementation of projects funded under the Choice Demonstration authority of the 1992 Rehabilitation Amendments through site visits, research review, and monthly status monitoring	Research Triangle Institute LC 92 0080 01	1/4/95 10/31/95	Furey/Abernathy
1995	$90,000	**Analysis of Discipline Issues in Special Education** The study examined state and school district disciplinary policies and procedures, with particular emphasis on implementation of such policies with students identified for and receiving special education services. Study methods included telephone interviews with selected state and local officials and analysis of data provided by respondents on suspension and expulsion patterns among special education and other students	Research Triangle Institute LC 92 0080 01	7/13/95 7/13/96	Furey/Snyderman
1995	$183,000	**Setting a National Agenda for Research and Development in Adult Education** This study is assisting the National Institute for Literacy (NIFL) in developing a research agenda for adult literacy; activities include review of research, conduct of focus groups with experts and stakeholders, and preparation of issues papers on selected topics.	Research Triangle Institute LC 92 0080 01	8/16/95 9/30/97	Furey
1996	$220,000	**Development of Evaluation Standards for Vocational Rehabilitation Programs** This task provides technical support to the Rehabilitation Services Administration in development of performance standards and indicators as required under the 1992 Rehabilitation Amendments; activities include background reviews, preparation of issue papers, data analysis, and management of a Technical Review Group	Research Triangle Institute LC 92 0080 01	9/19/96 12/15/97	Furey/Abernathy
1994	$162,679	**Set Aside for Evaluation of Gateways and SLRCs** These studies supported surveys of State Directors of Adult Education, Gateway grant project directors and SLRC project directors, to describe state administration of these programs and activities carried out by the grantees	Research Triangle Institute LC 92 0080 01	9/30/94 9/30/95	Pendleton
1995	$150,000	**Vocational Rehabilitation Performance Indicators** This task provides technical support to the Rehabilitation Services Administration in development of performance standards and indicators as required under the 1992 Rehabilitation Amendments, activities include background reviews, preparation of issue papers, data analysis, and management of a Technical Review Group	Research Triangle Institute LC 92 0080 01	9/15/95 9/30/97	Furey/Abernathy
1993 1994 1995	$74,564 $49,967 $49,789	**Evaluation of the Paul Douglas Teacher Scholarship Program** No evaluation reports were produced before the Paul Douglas program was canceled and this evaluation was canceled	Westat LC 92 0620 01	9/30/93 5/30/95	Eisner
1994	$199,806	**Analysis of NPSAS Data** This task order involved analyses of the NPSAS survey data	Westat LC 92 0620 01	6/1/93 6/1/95	Goldenberg

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1993 1994	$99,759 $149,952	**Improvement of ED Forecasting Models** This task provided for contractor support and improvement of integrated cross-program model in postsecondary education	Westat LC 92 0620 01	3/17/93 3/30/95	Goldenberg
1994	$279,989	**Evaluation of the Effects of Higher Education Act Provisions on Students** This study analyzed the effects on students of the Higher Education Act's changes to Pell Grant eligibility criteria.	Westat LC 92 0620 01	7/29/94 12/31/95	Goldenberg
1994	$249,661	**Update Trends in College Costs** The study updated the data and analysis in the 1990 PES report "The Escalating Cost of Higher Education." Since the recent changes have been at public colleges, the study concentrated on changes at public institutions as a result of state fiscal retrenchment	Westat LC 92 0620 01	3/9/94 1/31/96	Goldenberg
1994	$61,916	**Development of Parameters for the Approval of SPRE Standards** To assist in developing performance indicators to judge SPRE plans	Westat LC 92 0620 01	2/28/94 2/28/95	Zwillinger
1992 1993 1994 1995 1996	$429,131 $389,151 $436,000 $451,400 $343,388	**Evaluation of the Tech-Prep Education Program** In FY 1992, the Department began to evaluate the effectiveness of projects funded under the Tech-Prep Education Act. Tech-prep projects are partnerships between secondary and postsecondary educational institutions to develop and implement 4-year programs designed to provide students with skills in liberal and practical arts and in basic academics, and intense technical preparation leading to a 2-year associate degree or a 2-year certificate. This evaluation will provide comprehensive data on participants, coordination, implementation, curriculum, staff training, and student outcomes	Mathematica LC 92 1070 01	9/30/92 3/31/98	Furey
1989 1990 1991 1992 1993	$600,000 $800,000 $3,500,000 $2,540,000 $800,000	**National Adult Literacy Survey** This was a national study of literacy proficiency among the adult population. Adult Education National Programs funds in FY 1989 and 1990 supported the field test of the survey instruments and data collection procedures. The survey was conducted in 1992. Initial results were available in 1993. Funds were added to support an increase in the sample size to include nationally representative data on the corrections population.	NCES	9/1/89 12/1/94	Kolstad
1990 1991 1992 1993 1994	$293,000 $689,000 $619,000 $703,000 $619,000	**Center for Outcome Assessment** This study establishes a Center to assist in designing, planning, implementing, and using a comprehensive system of national indicators to assess outcomes for children and youths with disabilities. It addresses issues of outcome constructs, assessment techniques, sampling, data collection, and costs	OSEP COOP	9/1/90 9/1/96	Danielson
1990 1991 1992 1993 1994	$60,000 $250,000 $250,000 $239,000 $150,000	**State Agency/Federal Evaluation Studies: Feasibility Studies of Impact and Effectiveness** These feasibility studies conducted by state agencies, addressed issues such as barriers to the provision of services under Part H legislation impact of state and local education reform policies on inclusionary activities, and effect of different certification options on the attrition rate among teachers of special education	OSEP COOP	9/30/90 9/30/95	Sanchez/Danielson

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FY	Funding Amount	Description of Contract	Contractor and Number	Start Date End Date	Officer
1991 1992 1993 1994	$1,050,000 $923,000 $477,000 $827,000	**State Agency/Fedaral Evaluation Studies: Evaluation of Special Education and Early Intervention** These evaluation studies assessed the impact and effectiveness of special education and related services for children and youth with disabilities, and of early intervention services to infants and toddlers with disabilities.	OSEP COOP	9/30/91 9/30/95	Sanchez/Danielson
1992 1993 1994	$199,925 $218,446 $225,753	**Evaluation of the Javits Grants Program** The Javits gifted and talented students education program supports demonstration gifted and talented programs in schools and other agencies and organizations. This study assessed the effectiveness of projects in attaining their objectives; identified promising practices and significant learnings and assessed potential for replication	RP 92 1470 01	9/30/92 9/30/95	Pritchard/Ross
1991 1992 1993	$250,000 $243,000 $257,963	**Educational Partnerships Program Evaluation** The objectives of this evaluation were to meet requirements of the program legislation for evaluation activities; to add to the body of knowledge about educational partnerships; and to provide feedback to projects to help improve project evaluation and project results.	RP 93 1260 01	9/2/91 9/1/96	
1990 1991 1992 1993	$1,000 $154,394 $1,500 $1,250	**Higher Education Surveys** Established to conduct brief surveys of higher education institutions The panel consisted of approximately 1100 institutions	Westat SRS8520082	10/1/85 2/28/95	Goldenberg

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